


Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  <b>MHL0601400</b>	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____  B. WING _____	(X3) DATE SURVEY COMPLETED  <b>05/05/2021</b>
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NAME OF PROVIDER OR SUPPLIER  <b>SMITH COTTAGE</b>	STREET ADDRESS, CITY, STATE, ZIP CODE <b>6725 SAINT PETER'S LANE MATTHEWS, NC 28105</b>
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V 000	<p><b>INITIAL COMMENTS</b></p> <p>An annual, follow up and complaint survey was completed 5-5-21. The complaint was unsubstantiated (#NC00175292). Defeciencies were cited.</p> <p>This facility is licensed for the following service category: 10A NCAC 27G 1900 Psychiatric Residential Treatment Facility for Children and Adolescents.</p>	V 000		
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> <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> <p>(1) client outcome(s) that are anticipated to be achieved by provision of the service and a projected date of achievement;</p> <p>(2) strategies;</p> <p>(3) staff responsible;</p> <p>(4) a schedule for review of the plan at least annually in consultation with the client or legally responsible person or both;</p> <p>(5) basis for evaluation or assessment of outcome achievement; and</p> <p>(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.</p>	V 112		

Division of Health Service Regulation LABORATORY, DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE 	TITLE Chief Performance & Quality Officer 5/18/2021	(X6) DATE
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V 112	<p>Continued From page 1</p> <p>This Rule is not met as evidenced by: Based on record reviews and interviews the facility failed to strategies were included in the treatment plans, effecting two of eight clients (Clients #1 and #2) and one of one former client (Former Client #9). The findings are:</p> <p>Review on 4-28-21 of Former Client #9's record revealed: -Admitted 8-4-20, discharged 1-22-21. -18 years old. -Diagnoses include: Post Traumatic Stress Disorder, Borderline Personal Disorder, Persistent Depressive Disorder with anxious distress -Person Centered Plan last updated 11-2-20 revealed; Crisis Plan strategies; Spend one-on-one time with me, remind me to use my coping skills, which are listening to music and talking to someone I trust. - No strategies in place addressing writing or receiving notes with staff.</p> <p>Review on 4-28-21 of Client #1's record revealed: -Admitted 10-2-20. -14 years old. -Diagnoses include Major Depressive Disorder, Generalized anxiety disorder, purging disorder. -Person Centered Plan last updated 4-19-21 revealed: Crisis Plan Strategies; she shares she is supposed to journal. Listening to music, coloring and running are activities that help her calm down.</p>	V 112	<p>V112:</p> <p>Plan of Action:</p> <ol style="list-style-type: none"> <li>1. Clinical Supervisor will meet with clinical team to review and retrain on all components of a treatment plan and ensure clinical staff are documenting all treatment interventions.</li> <li>2. Client #2's crisis plan will be updated to include writing notes to individuals to help her express her feelings in a healthy way and receiving notes.</li> </ol> <p>Compliance:</p> <ol style="list-style-type: none"> <li>1. Clinical Supervisor will conduct internal reviews of client treatment plans to ensure standards are being met.</li> <li>2. PQI will conduct internal reviews of client documentation for compliance.</li> </ol>	<p>6/2/2021</p> <p>5/21/2021</p> <p>Quarterly</p> <p>Biannual</p>

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V 112	<p>Continued From page 2</p> <ul style="list-style-type: none"> <li>- No strategies in place addressing writing or receiving notes with staff.</li> </ul> <p>Review on 4-28-21 of Client #2's record revealed:</p> <ul style="list-style-type: none"> <li>-Admitted 12-8-20.</li> <li>-15 years old.</li> <li>-Diagnoses include Major Depressive Disorder, single episode, Separation Anxiety Disorder, ODD (provisional), Borderline Intellectual Functioning, History of neglect, History of Sexual Child Abuse.</li> <li>-Review of Client #2's Person Centered Plan completed on 11-12-20, last updated 5-29-21 revealed; coping skills include art, music and games...</li> <li>-No strategies in place addressing writing or receiving notes with staff.</li> </ul> <p>Interview on 4-21-21 with Client #1 revealed:</p> <ul style="list-style-type: none"> <li>-She had been at the facility for six months.</li> <li>- Staff is "amazing."</li> <li>-She was never uncomfortable around staff.</li> <li>- Staff #1-No problems she was one of Client #1's favorites.</li> <li>- "At the end it seemed it seemed like ...she seemed sad."</li> <li>- "I would write her nice notes she would write me notes back. She would say thank you, your hugs mean more than you know."</li> <li>- She has kept the notes and would be willing show them to anyone, but she did want to keep the notes.</li> <li>-She didn't think anybody complained about it. She didn't know if anyone else was writing notes.</li> </ul> <p>Interview on 4-21-21 with Client #2 revealed:</p> <ul style="list-style-type: none"> <li>-She had been at the facility since December 2020.</li> <li>-She keeps trying to run away and self-harm.</li> </ul>	V 112		

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V 112	<p>Continued From page 3</p> <ul style="list-style-type: none"> <li>-Staff was "good when I first got here."</li> <li>-Some of the client s had sexual feeling about Staff #1 and she was one of them.</li> <li>-Staff #1 did not know the clients had fantasies about her.</li> <li>-Client #3 said that Staff #1 likes to put her in restraints.</li> <li>-"I don't think [Client #3] likes [Staff #1]."</li> <li>-Staff #1 had written her notes.</li> <li>-"I gave them to [Staff #2]. I don't remember what they said, but they made me feel good."</li> <li>-She wanted Staff #1 to "be her girlfriend."</li> <li>-Staff #1 never told her anything like that.</li> </ul> <p>Interview on 4-21-21 with Client #4 revealed:</p> <ul style="list-style-type: none"> <li>-"[Staff #1] is definitely a pervert. She would place he whole weight on my arm and body."</li> <li>-"She has put her face in my boobs, she touched one girls butt."</li> <li>-"They looked at the camera and it happened."</li> <li>-The Supervisor currently out on medical leave is her "best friend" and she "loves him."</li> <li>-Staff #1 didn't like the clients.</li> <li>-"Whenever she (Staff #1) was having problems with her girlfriend she would take it out on us."</li> </ul> <p>Interview on 4-29-21 with Staff #1 revealed:</p> <ul style="list-style-type: none"> <li>-She left the cottage in early march and is in the process of helping open up a new cottage on campus.</li> <li>-She had been the Floor Supervisor and some of her duties were making sure the scheduling needs were filled</li> <li>-She was the only person that would take the clients to doctors appointment because the other staff would refuse.</li> <li>-The other staff in the cottage had not liked her, but when she tried to address the issue, they</li> </ul>	V 112		

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V 112	<p>Continued From page 4</p> <p>said there was no problem.</p> <p>- "Majority of clients get close to me because I have a good relationship. There have been staff that didn't like clients being close to me."</p> <p>- The notes "all began when I first working there I had a client we started passing notes. This was a client staff didn't want them in my face (wanted to process with me etc. play games). I know [Staff #2] had a issues (with she and clients exchanging notes.)"</p> <p>- I spoke with therapist in regard to situation. I asked her if we could engage in notes so we wouldn't have to process with me. I went to [Therapist] and that is how it began.</p> <p>- "No client has ever told me (they had a crush on her) but I could tell those clients were getting inappropriate. Anything in the notes other staff has seen. Nothing in the notes said anything regarding me and having crush on me. They were cleaning a girls room and did find a note saying she was in love with me. But it was not shared."</p> <p>Interview on 4-27-21 with Staff #2 revealed:</p> <p>- She had been working at the cottage for about two years and she was a Residential Care Specialist.</p> <p>- Staff #1 had been floor supervisor "she had done a lot of inappropriate things that staff shouldn't or wouldn't do. Like passing notes I have seen notes. So it wasn't sexual but inappropriate but the way it was being communicated. Stuff like feelings, things you shouldn't be talking about with clients."</p> <p>- Inappropriate boundaries ex: "picture of her and a client together client legs were across hers. It was posted she has a lot of different pictures posted on the wall that is a HIPPA violation. Pictures are taken down. I actually had a picture of notes. I emailed them to some pictures to some lady."</p>	V 112		

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V 112	<p>Continued From page 5</p> <p>-When asked if Staff #1 had ever inappropriately touched a client.: "I don't think the one accusation was valid but one client did say she was rubbing on her back. You are not supposed to be alone with client. I know another client ...I know that that client said she was having sexual dreams and wanted her for a girlfriend."</p> <p>-"It was a lot of little things boundary wise that we deemed that wasn't OK. She went to another cottage I think she went to DJJ."</p> <p>Interview on 5-3-21 with Staff #3 revealed:</p> <p>-She has worked at the facility for two years.</p> <p>-Client #2 likes to write things down when she processes things. She makes up poems and songs.</p> <p>-There had been an internal investigation about one staff.</p> <p>-The staff at the facility get along "quite well."</p> <p>-"The staff get along quite well. They do the job. There was one incident. The one who the kids made an allegation ...she didn't work well with us. That was the only time of that."</p> <p>Interview on 5-3-21 with Staff #4 revealed:</p> <p>-She usually work third shift, but when she does work second shift, she has never seen any staff member be inappropriate with the clients .</p> <p>Interview on 4-22-21 with the Therapist revealed:</p> <p>-She had been working at the facility for approximately one year.</p> <p>-"All the kids have sexual issues. We frame it as girls that have either been exploited or high risk."</p> <p>-"Girls may develop crush on staff. A lot of these girls the only relationship they have had is sexual so when they have a relationship they think it must be sexual."</p> <p>-"We do a lot of processing about</p>	V 112		

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V 112	<p>Continued From page 6</p> <p>relationships attachment and how their past lives may have led to expect them to be sexual. This is pretty ongoing."</p> <p>-Our floor supervisor (Staff #1) started about 8 months ago. She is very engaging with girls she engaging them in a meaningful way."</p> <p>-Because of Staff #1's sexuality some of the clients did say they had a crush on Staff #1.</p> <p>-The Therapist is the one that suggested the clients write notes and staff write notes in return.</p> <p>-A lot of girls have trouble expressing verbally so I suggested notes. I reviewed them, nothing appropriate."</p> <p>-This coping skill was not written in the treatment plans or anywhere else, "I guess it should be."</p> <p>-We used to have a staff advocate one staff they would go to for needs. Their roles was to have separate conversations with them, to write notes."</p> <p>-The other staff at the facility have been working there for a long period of time.</p> <p>-The facility "is a group of women that is very strong. It was a lot of push back, that continued and deteriorated. [Supervisor] and I sat down with her to give coaching suggestions to build staff relationships. It had gotten to the point of no return. I think brining her in as supervisor, the other women."</p> <p>-Never saw a situation she was worried about [Staff #1] being inapproriate."</p> <p>-I just want to say these are high risk... girls they are high risk I do not believe anything in appropriate took place."</p>	V 112		
V 738	<p>27G .0303(d) Pest Control</p> <p>10A NCAC 27G .0303 LOCATION AND EXTERIOR REQUIREMENTS</p>	V 738		

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V 738	Continued From page 7  (d) Buildings shall be kept free from insects and rodents.  This Rule is not met as evidenced by: Based on observation and interview the facility failed to be kept free from rodents. The findings are:  Observation on 4-29-21 at approximately 3:30 pm revealed: -An abundance of mouse dropping, some fresh, some dried, underneath both sinks in the kitchen area.  Interview on 4-21-21 and 4-29-21 revealed: -No clients or staff reported that they have recently seen mice.  Interview on 5-5-21 with the Chief performance and quality officer revealed: -The Chief Facilities Officer reported that they had the exterminator out several times to deal with mice, but the building was 50 years old so it was hard to keep mice out. -They would make sure the mice were exterminated and the kitchen area cleaned.	V 738	V738- Plan of Action: 1. Facility team is checking the traps regularly and inspecting the area where the mice droppings were seen weekly.  2. Facilities staff have done a sweep of the exterior of the building and sealed any visible holes/cracks in the building.  Compliance: 1. Contracting with an Exterminator to provide services to the building once a month.  2. Residential Staff will continue to notify Facilities team if any rodents are seen.	Ongoing/ weekly  5/11/2021  Monthly  as needed