

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  <b>MHL0601117</b>	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____  B. WING _____	(X3) DATE SURVEY COMPLETED  <b>05/25/2021</b>
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NAME OF PROVIDER OR SUPPLIER  <b>ALEXANDER YOUTH NETWORK - ELM UNIT</b>	STREET ADDRESS, CITY, STATE, ZIP CODE <b>6220-D THERMAL ROAD CHARLOTTE, NC 28211</b>
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V 000	<p><b>INITIAL COMMENTS</b></p> <p>An annual, complaint and follow-up survey was completed on 5/25/21. The complaint was unsubstantiated(Intake #175895). Deficiencies were cited.</p> <p>This facility is licensed for the following service category:10A NCAC 27G .1900 Psychiatric Residential Treatment Facility</p>	V 000		
V 113	<p>27G .0206 Client Records</p> <p>10A NCAC 27G .0206 CLIENT RECORDS</p> <p>(a) A client record shall be maintained for each individual admitted to the facility, which shall contain, but need not be limited to:</p> <p>(1) an identification face sheet which includes:</p> <ul style="list-style-type: none"> <li>(A) name (last, first, middle, maiden);</li> <li>(B) client record number;</li> <li>(C) date of birth;</li> <li>(D) race, gender and marital status;</li> <li>(E) admission date;</li> <li>(F) discharge date;</li> </ul> <p>(2) documentation of mental illness, developmental disabilities or substance abuse diagnosis coded according to DSM IV;</p> <p>(3) documentation of the screening and assessment;</p> <p>(4) treatment/habilitation or service plan;</p> <p>(5) emergency information for each client which shall include the name, address and telephone number of the person to be contacted in case of sudden illness or accident and the name, address and telephone number of the client's preferred physician;</p> <p>(6) a signed statement from the client or legally responsible person granting permission to seek emergency care from a hospital or physician;</p> <p>(7) documentation of services provided;</p> <p>(8) documentation of progress toward outcomes;</p>	V 113		

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

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V 113	<p>Continued From page 1</p> <p>(9) if applicable: (A) documentation of physical disorders diagnosis according to International Classification of Diseases (ICD-9-CM); (B) medication orders; (C) orders and copies of lab tests; and (D) documentation of medication and administration errors and adverse drug reactions. (b) Each facility shall ensure that information relative to AIDS or related conditions is disclosed only in accordance with the communicable disease laws as specified in G.S. 130A-143.</p> <p>This Rule is not met as evidenced by: Based on records review and interviews, the facility failed to ensure documentation of services provided and documentation of progress toward outcomes was in the client record affecting 3 of 3 clients(#1, #2 and #3). The findings are:</p> <p>Finding #1: Review on 5/17/21 and 5/18/21 of client #1's record revealed: -admission date of 7/16/20; -diagnoses of Post Traumatic Stress Disorder(PTSD), Attention Deficit Hyperactivity Disorder(ADHD), Autistic Disorder, Encopresis, Unspecified Convulsions and Other Persistent Mood Disorder; -admission assessment dated 6/10/20 documented client #1 demonstrated anger outbursts, aggression, elopements, self-harm, defiance, property destruction, impulsivity and had multiple psychiatric inpatient hospitalizations;</p>	V 113		

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V 113	<p>Continued From page 2</p> <p>-Treatment plan dated 5/21/21 documented goals to learn behavior management skills, identify three coping skills, increase positive peer interaction, decrease aggressive behaviors/anger outbursts, maintain healthy status, follow bedtime routine and participate in therapeutic leave.</p> <p>Interview on 5/17/21 with client #1 revealed: -saw his therapist today; -see her almost every week.</p> <p>Further review on 5/17/21 and 5/18/21 of client #1's therapy progress notes from 3/1/21-5/17/21 revealed the following documented: -3/5 virtual check in session with client #1 due to COVID-19 and quarantine; -4/17 observed client #1 in milieu/cottage activities; -4/29 meeting with clinical supervisor, first shift supervisor and case manager for clinical case consultation; -5/5 individual session with client #1; -therapy notes with goals listed but no documentation for the following sections of progress note: Summary of Activity and Needs or Recommendations to be Addressed for dates of 4/8, 4/25, 4/30, 5/14. -documented in section of therapy progress notes labeled "Change in Risk to Self or Others" was documented "No Issues" for dates of 4/8, 4/25, 4/30 and 5/14.</p> <p>Finding #2: Review on 5/17/21 of client #2's record revealed: -admission date of 3/16/21; -diagnoses of PTSD, ADHD and Intermittent Explosive Disorder; -admission assessment dated 3/11/21 documented client #2 demonstrated aggression, elopements, defiance, property destruction,</p>	V 113		

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V 113	<p>Continued From page 3</p> <p>impulsivity, had a history of enuresis/encopresis, was a victim of neglect and was exposed to domestic violence(DV); -treatment plan dated 5/21/21 documented goals to develop and utilize healthy coping skills, develop and utilize appropriate anger management skills, maintain healthy status, establish and follow am/pm routine, have positive interaction with peers and participate in therapeutic leave.</p> <p>Interview on 5/17/21 with client #2 revealed: -saw her therapist last week; -don't know how often she sees her therapist.</p> <p>Further review on 5/17/21 of client #2's therapy progress notes from 3/16/21-5/17/21 revealed the following documented: -4/17 observed client #1 in milieu/cottage activities; -therapy notes with goals listed but no documentation for the following sections of progress note: Summary of Activity and Needs or Recommendations to be Addressed for dates of 3/16, 4/8, 4/25, 4/30, 5/13; -documented in section of therapy progress notes labeled "Change in Risk to Self or Others" was documented "No Issues" for dates of 4/8, 4/25, 4/30 and 5/14.</p> <p>Finding #3: Review on 5/17/21 of client #3's record revealed: -admission date of 1/4/21; -diagnoses of Adjustment Disorder with Mixed Disturbances of Emotions/Conduct and reaction to Severe Stressors Unspecified; -admission assessment dated 12/28/20 documented client #3 demonstrated aggression, elopements, threats to kill foster parents, school suspensions, victim of sexual abuse, witnessed</p>	V 113		

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V 113	<p>Continued From page 4</p> <p>DV, victim of neglect, food insecurities, anger issues and had psychiatric inpatient hospitalizations;</p> <p>-Treatment plan dated 4/13/21 documented goals to stay in assigned area, eat food provided, keep room clean, maintain hygiene, take medications as prescribed, communicate feelings appropriately, learn and develop coping skills and age appropriate interaction skills, establish and follow night-time routine, follow bathroom routine and participate in therapeutic leave.</p> <p>Interview on 5/17/21 with client #3 revealed:</p> <p>-saw his therapist a couple of weeks ago;</p> <p>-didn't see her last week.</p> <p>Further review on 5/17/21 of client #3's therapy progress notes from 3/1/21-5/17/21 revealed the following documented:</p> <p>-3/5 virtual check in session with client #3 due to COVID-19 and quarantine;</p> <p>-4/17 observed client #1 in milieu/cottage activities;</p> <p>-therapy notes with goals listed but no documentation for the following sections of progress note: Summary of Activity and Needs or Recommendations to be Addressed for dates of 4/8, 4/25, 4/30, 5/13;</p> <p>-documented in section of therapy progress notes labeled "Change in Risk to Self or Others" was documented "No Issues" for dates of 4/8, 4/25, 4/30 and 5/13.</p> <p>Interview on 5/24/21 with the therapist revealed:</p> <p>-Been at the facility a total of 11 years;</p> <p>-was here from 2006-2017, left then came back a year ago.</p> <p>-assigned clients at Elm Unit;</p> <p>-job duties include seeing kids for individual sessions, help with any crisis, facilitate Child and</p>	V 113		

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V 113	<p>Continued From page 5</p> <p>Family Team meetings, authorizations, clinical staffing and family sessions as warranted;                      -client #1 does fantastic one on one;                      -last saw him 5/14;                      -most of the time he is one on one with staff here;                      -gets a chew toy to reduce him biting in himself;                      -takes a lot of redirection and prompts;                      -a lot of restraints;                      -he was placed on self-harm precautions at end of 4/2021;                      -he had started banging his head and making his nose bleed;                      -he was also biting himself;                      -last saw client #2 on 5/14;                      -she has problems with emotional regulation;                      -she is able to articulate very well and can identify her triggers.                      -if she is triggered, she will go into a full-blown tantrum;                      -during her last sessions, she got upset over not being able to keep a toy and had a tantrum;                      -last saw client #3 on 5/14;                      -has issues with boundaries;                      -working on him asking for hugs;                      -gets in others personal space/faces and causes issues with peer interactions but doing much better;                      -see clients for individual once a week;                      -also go to cottage on weekends and observe in cottage for some who do not do well in individual;                      -behind on notes in system and have all sessions in her notebook in her handwriting;                      -not transposed in system.</p> <p>Interview on 5/25/21 with the Executive Director revealed he will address the issues with the therapist.</p>	V 113		

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V 738 V 738	<p>Continued From page 6</p> <p>27G .0303(d) Pest Control</p> <p>10A NCAC 27G .0303 LOCATION AND EXTERIOR REQUIREMENTS (d) Buildings shall be kept free from insects and rodents.</p> <p>This Rule is not met as evidenced by: Based on observations and interviews, the facility was not kept free from insects. The findings are:</p> <p>Interview on 5/17/21 with client #2 revealed: -see bugs in her room; -see spiders and ants; -last night saw a big spider in her room.</p> <p>Interview on 5/17/21 with client #3 revealed: -saw bugs in his room; -saw a water cockroach and ants; -saw long time ago.</p> <p>Observation on 5/19/21 at 1:15pm revealed: -granddaddy longlegs spider in upper corner of wall by closet in client #2's room; -four dead, small, black flying insects on floor by client #2's bed.</p> <p>Interview on 5/19/21 with client #2 revealed: -"I've been killing bugs;" -"I hate this room."</p> <p>Interview on 5/19/21 and 5/25/21 with the Executive Director revealed: -the cottage is an old building; -not sure why bugs in client #2's room; -maintenance staff do pest control weekly at</p>	V 738 V 738		

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V 738	Continued From page 7  cottage; -will inform maintenance of issue.	V 738		