


Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: MHL060-059	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING _____	(X3) DATE SURVEY COMPLETED C 12/19/2022
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NAME OF PROVIDER OR SUPPLIER ALEXANDER YOUTH NETWORK - PRTF (LIONS DEN	STREET ADDRESS, CITY, STATE, ZIP CODE 6220 THERMAL ROAD CHARLOTTE, NC 28211
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V 000	<p>INITIAL COMMENTS</p> <p>A complaint survey was completed on December 19, 2022. The complaint was substantiated (Intake #NC00194325). Deficiencies were cited.</p> <p>The facility is licensed for the following service: 10A NCAC 27G .1900 Psychiatric Residential Treatment for Children and Adolescents.</p> <p>This facility is licensed for 12 and currently has a census of 6. The survey sample consisted of audits of 1 current client.</p>	V 000	<p style="text-align: center;">DHSR - Mental Health</p> <p style="text-align: center;">JAN 31 2023</p> <p style="text-align: center;">Lic. & Cert. Section</p>	
V 314	<p>27G .1901 Psych Res. Tx. Facility - Scope</p> <p>10A NCAC 27G .1901 SCOPE</p> <p>(a) The rules in this Section apply to psychiatric residential treatment facilities (PRTF)s.</p> <p>(b) A PRTF is one that provides care for children or adolescents who have mental illness or substance abuse/dependency in a non-acute inpatient setting.</p> <p>(c) The PRTF shall provide a structured living environment for children or adolescents who do not meet criteria for acute inpatient care, but do require supervision and specialized interventions on a 24-hour basis.</p> <p>(d) Therapeutic interventions shall address functional deficits associated with the child or adolescent's diagnosis and include psychiatric treatment and specialized substance abuse and mental health therapeutic care. These therapeutic interventions and services shall be designed to address the treatment needs necessary to facilitate a move to a less intensive community setting.</p> <p>(e) The PRTF shall serve children or adolescents for whom removal from home or a community-based residential setting is essential to facilitate treatment.</p>	V 314	<p>Safety and supervision of consumers is extremely important at Alexander Youth Network. Upon becoming knowledgeable of the reported concern, PRTF leadership swiftly moved forward with initiating an internal investigation.</p> <p>Staff members involved, while receiving suspension and documented disciplinary action, also participated in and successfully completed re-training of the Alarm Response protocol which included the steps taken when a consumer triggers the alarm. This training occurred on November 4th, 2022.</p> <p>Additionally, the agency implemented the preliminary phases of the Guard 1 system in December 2022. Guard 1 is an electronic system that captures bed checks, collects data regarding missed checks and timeframe of checks.</p>	2/10/2023

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LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE 

TITLE **EXECUTIVE DIRECTOR**

(X6) DATE **1-27-23**

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V 314	<p>Continued From page 1</p> <p>(f) The PRTF shall coordinate with other individuals and agencies within the child or adolescent's catchment area.</p> <p>(g) The PRTF shall be accredited through one of the following; Joint Commission on Accreditation of Healthcare Organizations; the Commission on Accreditation of Rehabilitation Facilities; the Council on Accreditation or other national accrediting bodies as set forth in the Division of Medical Assistance Clinical Policy Number 8D-1, Psychiatric Residential Treatment Facility, including subsequent amendments and editions. A copy of Clinical Policy Number 8D-1 is available at no cost from the Division of Medical Assistance website at http://www.dhhs.state.nc.us/dma/.</p> <p>This Rule is not met as evidenced by: Based on record review and interviews the facility failed to provide a structured living environment for children who required supervision and specialized intervention on a 24-hour basis, affecting 1 or 1 audited client (client #1). The findings are:</p> <p>Record review on 12/14/22 of client #1's record revealed: - Admission date 6/24/22; - Age 10; - Diagnosis-Reactive Attachment Disorder of Childhood.</p> <p>Review on 12/14/22 of the facility's document</p>	V 314	<p>Furthermore, PRTF supervisors perform weekly review of video surveillance, across random 3rd shift timeframes as an additional safety measure. PRTF supervisors will begin documenting the surveillance reviews no later than February 10, 2023. The surveillance reviews will be submitted to the Executive Director weekly.</p>	
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V 314	<p>Continued From page 2</p> <p>labeled Summary of Investigation-Staff #1, completed by the Executive Director, dated 11/4/22 revealed:</p> <ul style="list-style-type: none"> - On 10/13/22, cafeteria staff observed client #1 outside of the cafeteria at approximately 5:30am; - Cafeteria staff contacted staff #2 to inform them client #1 was in the cafeteria; - On 10/13/22, management initiated an internal investigation and staff #1 was suspended pending investigation; - During the investigation, client #1, staff #1, #2 were interviewed; - Client #1 reported to have intentionally caused the alarm to go off so that he could crack his bedroom window and leave when staff were not paying attention; - Client #1 reported he was successfully able to crack the window; - Client #1 could not indicate what staff was doing but reported that he could hear, talking, laughing and snoring; - Staff #1 disabled the alarm once it went off and reset it; - Bed checks occurred and all clients were in the bed; - Staff #1 reported she may have nodded out occasionally during her shift; - Staff #1 reported completing bed checks but not going inside room to check the windows; - Management attempted to observe video footage of the incident, but had difficulty due to common area lights being out and the audio needing to be clearer; - Staff members did not follow policy and procedure regarding completing bed checks and bedroom/window alarm responses; <p>- "While there is no malicious intent indicated, the agency noted what could have occurred in addition to the opportunity for re-training related to staff competency;</p>	V 314		
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V 314	<p>Continued From page 3</p> <ul style="list-style-type: none"> - On 11/4/22, the agency re-instated staff #1 to her 3rd shift Behavioral Health Counselor position with the following: <ul style="list-style-type: none"> - Staff #1 will return on a Level III disciplinary action. As a result, any infractions and policy violations will result in immediate termination. - Staff #1 will be re-trained on bed check and alarm system protocols; - Over the next 30 days, Psychiatric Residential Treatment Facility (PRTF) management will complete random video observations to assess completing duties: bed checks and following bed/window alarm procedures. <p>Review on 12/14/22 of the facility document labeled Summary of Investigation- Staff #2, completed by the Executive Director dated 11/4/22 revealed:</p> <ul style="list-style-type: none"> - On 10/13/22, cafeteria staff observed client #1 outside of the cafeteria at approximately 5:30am; - Cafeteria staff contacted the cottage to inform them client #1 was in the cafeteria; - On 10/13/22, management initiated an internal investigation and staff #1 was suspended pending investigation; - During the investigation, client #1, staff #1, #2 were interviewed; - Client #1 reported to have intentionally caused the alarm to go off so that he could crack his bedroom window and leave when staff were not paying attention; - Client #1 reported he was successfully able to crack the window; - Client #1 could not indicate what staff was doing but reported that he could hear, talking, laughing and snoring; - Staff #2 reported that he was "watching television on his phone" and the alarm went off; - Staff #2 completed bed checks to see who set the alarm off; 	V 314		
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V 314	<p>Continued From page 4</p> <ul style="list-style-type: none"> - During bed checks all of the clients were in bed; - The cottage received a phone call from cafeteria staff saying that client #1 was missing; - Staff #2 went to the cafeteria and brought client #1 back to the cottage; - Management attempted to observe video footage of the incident, but had difficulty due to common area lights being out and the audio needing to be clearer; - Staff members did not follow policy and procedure regarding completing bed checks and bedroom/window alarm responses; - "While there is no malicious intent indicated, the agency noted what could have occurred in addition to the opportunity for re-training related to staff competency; - On 11/4/22, the agency re-instated staff #2 to his 3rd shift Behavioral Health Counselor position with the following: <ul style="list-style-type: none"> - Staff #2 will return on a Level III disciplinary action. As a result, any infractions and policy violations will result in immediate termination. - Staff #2 will be re-trained on bed check and alarm system protocols; - Over the next 30 days, PRTF management will complete random video observations to assess completing duties: bed checks and following bed/window alarm procedures. <p>Review on 12/14/22 of the facility documents labeled Refresher Training-Alarm Response Protocol revealed:</p> <ul style="list-style-type: none"> -Staff #1 and Staff #2 received training on 11/4/22 in the following areas: Bed check to occur in 15 minute increments, Disabling Alarm, Enter the room and observe child, Check window and confirm window is closed; and Exit room and reset alarm. - Training signed off by staff #1, staff #2 and the Executive Director. 	V 314		

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V 314	<p>Continued From page 5</p> <p>Interview on 12/14/22 with client #1 revealed:</p> <ul style="list-style-type: none"> - Awaken in the middle of the night; - On 10/13/22, woke up around 3am, Staff #1 and Staff #2 were asleep when client #1 got out of bed; - Attempted to open widow when the alarm sounded; - Pretended to be asleep when staff completed checks in each client room and turned off the alarm; - Heard staff snoring then snuck out of the window; - Went to the snack machine with the money (fake money) made in class; - Food Service staff seen him and gave him a snack; - Food Service staff called the cottage and informed that he was in the cafeteria - Staff #1 was asleep during she 3rd shift schedule on 12/12/22 and 12/13/22. - Staff #2 was asleep during 3rd shift on 12/14/22; - Called staff #3's name last night (12/14/22) "so I think he was asleep last night." - "Don't need to see them (staff) snoring because I can hear them snoring." <p>Interview on 12/4/22 with client #3 revealed:</p> <ul style="list-style-type: none"> - Staff #1 would sleep during her 3rd shift schedule; - Tried to awake staff #1 one time and she jumped up. <p>Interview on 12/14/22 with client #4 revealed:</p> <ul style="list-style-type: none"> - Staff #1 slept during her 3rd shift schedule; - On 12/13/22, staff #2 and staff #3 were asleep during their 3rd shift schedule. <p>Interview on 12/14/22 with client #5 revealed:</p> <ul style="list-style-type: none"> - Woke up at night sometimes; 	V 314		
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V 314	<p>Continued From page 6</p> <ul style="list-style-type: none"> - Staff #2 was asleep most of the time during his 3rd shift; - Staff #2 was asleep on 12/13/22; - Staff #1 was asleep sometimes during her 3rd shift. <p>Interview on 12/14/22 with client #6 revealed:</p> <ul style="list-style-type: none"> - Most of the time staff was asleep when awoken in the middle of the night due to bad dreams, going to bathroom or hungry; - Staff #2 and staff #3 worked 12/13/22 and unable to awaken staff #3. <p>Interview on 12/14/22 with staff #1 revealed:</p> <ul style="list-style-type: none"> - Denied sleeping on the job; - "I would doze off sometimes." - Client #1 opened the window when I was turned off the alarm; - Client #1 made fake money to get a honey bun out of the vending machine; - Client #1 had a plan to get out of the room; - Did not check all the windows; - Alarm is triggered sometimes just when a client gets out of the bed; - Denied being asleep when client #1 snuck out of the room, "he was just quiet as a mouse." - Denied dozing off to sleep on 12/12/22 and 12/13/22; - "Every blue moon one of my partners(co-workers) may have fallen asleep but not for long." -Written up for incident on 10/13/22, when client #1 was able to leave out his window; -Was put on a level 3 probation for a year, another write up would mean termination. <p>Interview on 12/15/22 with staff #2 revealed:</p> <ul style="list-style-type: none"> - Slept 30 minutes to an hour during shift once a week; -"Partner (co-worker) is awake during the time I 	V 314		
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V 314	<p>Continued From page 7</p> <p>may fall off to sleep, we make sure of that."</p> <ul style="list-style-type: none"> - Denied any client able to elope due to being asleep; - On 10/13/22, client #1 alarm went off around 4:45am; - "Cafeteria lady called about 15 minutes later stating he was in the cafeteria." - Client #1 stated he made fake money and wanted to get a snack out of the vending machine; - Denied clients have awaken staff during their shift; - "Partners have fallen asleep during shift and slept for about 30 minutes to an hour." <p>Interview on 12/15/22 with the Executive Director revealed:</p> <ul style="list-style-type: none"> - Supervisors watched surveillance video weekly for at least 30 minutes, different times to make sure staff are not asleep; - Supervisors have not reported any staff asleep during their shift, when viewing the surveillance video; - Implemented a new electronic system called Guard 1, that will require staff to log into the computer system every 15 minutes and record their bed checks on the clients. 	V 314		