

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: MHL054-126	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING _____	(X3) DATE SURVEY COMPLETED 01/07/2026
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NAME OF PROVIDER OR SUPPLIER OAKWOOD TREATMENT CENTER	STREET ADDRESS, CITY, STATE, ZIP CODE 2002 A, B, D, E & G SHACKLEFORD ROAD KINSTON, NC 28504
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V 000	<p>INITIAL COMMENTS</p> <p>A complaint survey was completed on January 7, 2026. One complaint was substantiated (intake #NC00235178) and one complaint was unsubstantiated (intake #NC00235088).</p> <p>This facility is licensed for the following service category: 10A NCAC 27G .1900 Psychiatric Residential Treatment for Children and Adolescents.</p> <p>This facility is licensed for 42 and has a current census of 42. The survey sample consisted of audits of 1 former client.</p>	V 000		
V 366	<p>27G .0603 Incident Response Requirements</p> <p>10A NCAC 27G .0603 INCIDENT RESPONSE REQUIREMENTS FOR CATEGORY A AND B PROVIDERS</p> <p>(a) Category A and B providers shall develop and implement written policies governing their response to level I, II or III incidents. The policies shall require the provider to respond by:</p> <ol style="list-style-type: none"> (1) attending to the health and safety needs of individuals involved in the incident; (2) determining the cause of the incident; (3) developing and implementing corrective measures according to provider specified timeframes not to exceed 45 days; (4) developing and implementing measures to prevent similar incidents according to provider specified timeframes not to exceed 45 days; (5) assigning person(s) to be responsible for implementation of the corrections and preventive measures; (6) adhering to confidentiality requirements set forth in G.S. 75, Article 2A, 10A NCAC 26B, 42 CFR Parts 2 and 3 and 45 CFR Parts 160 and 164; and 	V 366		

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

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V 366	<p>Continued From page 1</p> <p>(7) maintaining documentation regarding Subparagraphs (a)(1) through (a)(6) of this Rule.</p> <p>(b) In addition to the requirements set forth in Paragraph (a) of this Rule, ICF/MR providers shall address incidents as required by the federal regulations in 42 CFR Part 483 Subpart I.</p> <p>(c) In addition to the requirements set forth in Paragraph (a) of this Rule, Category A and B providers, excluding ICF/MR providers, shall develop and implement written policies governing their response to a level III incident that occurs while the provider is delivering a billable service or while the client is on the provider's premises. The policies shall require the provider to respond by:</p> <p>(1) immediately securing the client record by:</p> <p>(A) obtaining the client record; (B) making a photocopy; (C) certifying the copy's completeness; and (D) transferring the copy to an internal review team;</p> <p>(2) convening a meeting of an internal review team within 24 hours of the incident. The internal review team shall consist of individuals who were not involved in the incident and who were not responsible for the client's direct care or with direct professional oversight of the client's services at the time of the incident. The internal review team shall complete all of the activities as follows:</p> <p>(A) review the copy of the client record to determine the facts and causes of the incident and make recommendations for minimizing the occurrence of future incidents;</p> <p>(B) gather other information needed;</p> <p>(C) issue written preliminary findings of fact within five working days of the incident. The preliminary findings of fact shall be sent to the</p>	V 366		

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V 366	<p>Continued From page 2</p> <p>LME in whose catchment area the provider is located and to the LME where the client resides, if different; and</p> <p>(D) issue a final written report signed by the owner within three months of the incident. The final report shall be sent to the LME in whose catchment area the provider is located and to the LME where the client resides, if different. The final written report shall address the issues identified by the internal review team, shall include all public documents pertinent to the incident, and shall make recommendations for minimizing the occurrence of future incidents. If all documents needed for the report are not available within three months of the incident, the LME may give the provider an extension of up to three months to submit the final report; and</p> <p>(3) immediately notifying the following:</p> <p>(A) the LME responsible for the catchment area where the services are provided pursuant to Rule .0604;</p> <p>(B) the LME where the client resides, if different;</p> <p>(C) the provider agency with responsibility for maintaining and updating the client's treatment plan, if different from the reporting provider;</p> <p>(D) the Department;</p> <p>(E) the client's legal guardian, as applicable; and</p> <p>(F) any other authorities required by law.</p> <p>This Rule is not met as evidenced by: Based on record review and interviews, the</p>	V 366		

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V 366	<p>Continued From page 3</p> <p>facility failed to implement written policies governing their response to level II incidents. The findings are:</p> <p>Review on 01/06/25 of Former Client (FC) #1's record revealed:</p> <ul style="list-style-type: none"> - 16 year old female. - Admission date of 09/04/25. - Diagnoses of Major Depressive Disorder-Severe with Psychotic Symptoms, Oppositional Defiant Disorder, Eating Disorder and Attention Deficit Hyperactivity Disorder. - No level II incident report for FC #1's Involuntary Commitment (IVC) on 12/08/25. <p>Review on 01/06/25 of a physician order for FC #1 dated 12/08/25 revealed:</p> <ul style="list-style-type: none"> - "May IVC to [local hospital] ER (emergency room) for eval (evaluation) and tx (treatment) r/t (related to) self endangerment." <p>Review on 01/06/25 of "Progress Notes" for FC #1 revealed:</p> <ul style="list-style-type: none"> - 12/08/25 at 10:37am - Psychiatrist notified of therapeutic wrap and need for IVC and IVC order given. - 12/08/25 at 11:01am - "Guardian/mother notified of therapeutic wrap and consumer (FC #1) IVC. Guardian had concerns of if she was going to return to Oakwood or what the plan would be after IVC. Guardian wanted to speak with therapist. transferred call to therapist." - 12/08/25 at 1:36pm - "Consumer Affairs Coordinator notified guardian of IVC. Sheriff picked her up at 1:36pm." - 12/08/25 at 1:36pm - "Consumer was picked up by [sheriff office] and transported [local hospital] for IVC. Mom was made aware of plan and would like to be called with updates as available. Consumer was calm and went willingly with the 	V 366		

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V 366	<p>Continued From page 4</p> <p>officers."</p> <p>Interview on 01/07/25 the Consumer Affairs Coordinator stated:</p> <ul style="list-style-type: none"> - She obtained the IVC for the magistrate's office. - She had not completed incident reports. - The sheriff's office picked FC #1 up for IVC. <p>Interview 01/06/25 and 01/07/25 the Compliance Officer stated:</p> <ul style="list-style-type: none"> - FC #1 was IVC'd to a local hospital on 12/08/25. - The therapist had not completed an incident report. - The sheriff's office picked up FC #1. <p>This deficiency constitutes a re-cited deficiency and must be corrected within 30 days.</p>	V 366		
V 367	<p>27G .0604 Incident Reporting Requirements</p> <p>10A NCAC 27G .0604 INCIDENT REPORTING REQUIREMENTS FOR CATEGORY A AND B PROVIDERS</p> <p>(a) Category A and B providers shall report all level II incidents, except deaths, that occur during the provision of billable services or while the consumer is on the providers premises or level III incidents and level II deaths involving the clients to whom the provider rendered any service within 90 days prior to the incident to the LME responsible for the catchment area where services are provided within 72 hours of becoming aware of the incident. The report shall be submitted on a form provided by the Secretary. The report may be submitted via mail, in person, facsimile or encrypted electronic means. The report shall include the following information:</p> <p>(1) reporting provider contact and</p>	V 367		

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V 367	<p>Continued From page 5</p> <p>identification information;</p> <p>(2) client identification information;</p> <p>(3) type of incident;</p> <p>(4) description of incident;</p> <p>(5) status of the effort to determine the cause of the incident; and</p> <p>(6) other individuals or authorities notified or responding.</p> <p>(b) Category A and B providers shall explain any missing or incomplete information. The provider shall submit an updated report to all required report recipients by the end of the next business day whenever:</p> <p>(1) the provider has reason to believe that information provided in the report may be erroneous, misleading or otherwise unreliable; or</p> <p>(2) the provider obtains information required on the incident form that was previously unavailable.</p> <p>(c) Category A and B providers shall submit, upon request by the LME, other information obtained regarding the incident, including:</p> <p>(1) hospital records including confidential information;</p> <p>(2) reports by other authorities; and</p> <p>(3) the provider's response to the incident.</p> <p>(d) Category A and B providers shall send a copy of all level III incident reports to the Division of Mental Health, Developmental Disabilities and Substance Abuse Services within 72 hours of becoming aware of the incident. Category A providers shall send a copy of all level III incidents involving a client death to the Division of Health Service Regulation within 72 hours of becoming aware of the incident. In cases of client death within seven days of use of seclusion or restraint, the provider shall report the death immediately, as required by 10A NCAC 26C .0300 and 10A NCAC 27E .0104(e)(18).</p>	V 367		

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V 367	<p>Continued From page 6</p> <p>(e) Category A and B providers shall send a report quarterly to the LME responsible for the catchment area where services are provided. The report shall be submitted on a form provided by the Secretary via electronic means and shall include summary information as follows:</p> <ol style="list-style-type: none"> (1) medication errors that do not meet the definition of a level II or level III incident; (2) restrictive interventions that do not meet the definition of a level II or level III incident; (3) searches of a client or his living area; (4) seizures of client property or property in the possession of a client; (5) the total number of level II and level III incidents that occurred; and (6) a statement indicating that there have been no reportable incidents whenever no incidents have occurred during the quarter that meet any of the criteria as set forth in Paragraphs (a) and (d) of this Rule and Subparagraphs (1) through (4) of this Paragraph. <p>This Rule is not met as evidenced by: Based on record review and interview, the facility failed to notify the Local Management Entity/Managed Care Organization (LME/MCO) of level II incidents as required. The findings are:</p> <p>Review on 01/07/25 of the North Carolina Incident Response Improvement System (IRIS) revealed no Level II incident report had been submitted for Former Client (FC) #1's Involuntary Commitment on 12/08/25</p>	V 367		

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V 367	<p>Continued From page 7</p> <p>Review on 01/06/25 of FC #1's record revealed:</p> <ul style="list-style-type: none"> - 16 year old female. - Admission date of 09/04/25. - Diagnoses of Major Depressive Disorder-Severe with Psychotic Symptoms, Oppositional Defiant Disorder, Eating Disorder and Attention Deficit Hyperactivity Disorder. - No level II incident report had been submitted to the LME/MCO for FC #1's IVC on 12/08/25. <p>Review on 01/06/25 of a physician order for FC #1 dated 12/08/25 revealed:</p> <ul style="list-style-type: none"> - "May IVC to [local hospital] ER (emergency room) for eval (evaluation) and tx (treatment) r/t (related to) self endangerment." <p>Review on 01/06/25 of "Progress Notes" for FC #1 revealed:</p> <ul style="list-style-type: none"> - 12/08/25 at 10:37am - Psychiatrist notified of therapeutic wrap and need for IVC and IVC order given. - 12/08/25 at 11:01am - "Guardian/mother notified of therapeutic wrap and consumer (FC #1) IVC. Guardian had concerns of if she was going to return to Oakwood or what the plan would be after IVC. Guardian wanted to speak with therapist. transferred call to therapist." - 12/08/25 at 1:36pm - "Consumer Affairs Coordinator notified guardian of IVC. Sheriff picked her up at 1:36pm." - 12/08/25 at 1:36pm - "Consumer was picked up by [sheriff office] and transported [local hospital] for IVC. Mom was made aware of plan and would like to be called with updates as available. Consumer was calm and went willingly with the officers." <p>Interview on 01/07/25 the Consumer Affairs Coordinator stated:</p>	V 367		

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V 367	<p>Continued From page 8</p> <ul style="list-style-type: none"> - She obtained the IVC for the magistrate's office. - The sheriff's office picked FC #1 up for IVC. - She had not submitted an IRIS report. <p>Interview 01/06/25 and 01/07/25 the Compliance Officer stated:</p> <ul style="list-style-type: none"> - FC #1 was IVC'd to a local hospital on 12/08/25. - The sheriff's office picked up FC #1. - The therapist had not completed an IRIS report. - An IRIS report should be generated for IVC's clients. 	V 367		