
Annual Report to

**THE NORTH CAROLINA JOINT LEGISLATIVE OVERSIGHT COMMITTEE ON
MENTAL HEALTH, DEVELOPMENTAL DISABILITIES AND
SUBSTANCE ABUSE SERVICES**

Regarding Reports Requested on

**Consumer Deaths
Related to Use of Restraint or Seclusion**

and

**Facility Compliance with
Restraint and Seclusion Policies and Procedures**

(General Statute 131D-42)

for State Fiscal Year 2008-2009

Submitted by

North Carolina Department of Health and Human Services

Division of Health Service Regulation

Division of Mental Health, Developmental Disabilities, and Substance Abuse Services

Division of State Operated Healthcare Facilities

October 1, 2009

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EXECUTIVE SUMMARY

North Carolina's Session Laws, General Statutes, and Administrative Codes specify legal requirements and administrative rules for reporting consumer deaths and complying with restraint/seclusion policies and procedures. Appendix C of this report includes a brief summary of those legal requirements and administrative rules, and the Introduction describes reporting requirements for different types of facilities.

The Department of Health and Human Services (DHHS) is required by law to produce annual reports on consumer deaths related to use of restraint/seclusion, and on facility compliance with restraint/seclusion policies and procedures. These reports are submitted to the North Carolina Joint Legislative Oversight Committee on Mental Health, Developmental Disabilities and Substance Abuse Services. The data in the following reports are for State Fiscal Year (SFY) 2008-2009, which started on July 1, 2008 and ended on June 30, 2009.

Investigation of Consumer Deaths Related to Use of Restraint or Seclusion

In North Carolina, deaths are reported to DHHS by private licensed facilities, private unlicensed facilities, and state-operated facilities. The reporting requirements differ by type of facility. Thus, the data reported here were screened to include those consumers whose death: a) resulted from violence, accident, suicide or homicide; or b) occurred within seven days after use of restraint or seclusion. Table A, on page 6, provides a summary of data reported. This shows the number of deaths that were screened or reviewed, investigated, and found related to restraint/seclusion. This table indicates that there were a total of 323 deaths: 84 for private licensed facilities, 126 for private unlicensed facilities, and 113 for state operated facilities. Of the 323 deaths, 189 were investigated, and none were found related to restraint or seclusion. This data suggests that restraint/seclusion was not a factor in deaths reported for the last state fiscal year.

Assessment of Facility Compliance With Restraint/Seclusion Policies and Procedures

Compliance with restraint/seclusion policies and procedures was assessed with data on the number and frequency of citations issued to facilities by the Division of Health Service Regulation (DHSR). Table B, on page 8, provides a summary of data used for the assessment.

Table B shows that there were a total of 433 citations issued to facilities: 427 to private licensed facilities and six to state operated facilities. The highest number of citations (380) were issued to licensed private group homes and licensed day/outpatient treatment programs. Table B also shows that the most frequent citations were for inadequate training on restraint/seclusion and isolation time out procedures (416 citations).

Introduction

The state's legal requirements and administrative rules, referenced in Appendix C, specify the types of facilities required to report deaths, the types of deaths they are required to report, and compliance with restraint/seclusion policies and procedures. The facilities listed below are required to report deaths to DHHS through the Division of Health Services Regulation (DHSR), the Division of Mental Health, Developmental Disabilities, and Substance Abuse Services (DMH/DD/SAS), and/or the Division of State Operated Healthcare Facilities (DSOHF).

Facilities

Three general types of facilities report consumer deaths to DHHS: private licensed facilities, private unlicensed facilities, and state operated facilities.

The private licensed facilities include the following:

- Assisted Living Facilities
- Intermediate Care Facilities for Mental Retardation
- Group Homes and Day/Outpatient Treatment Programs
- Psychiatric Hospitals, Psychiatric Hospital Units; and Other Facilities

Private unlicensed facilities include:

- Periodic service providers
- Community Alternatives Program for Persons with Mental Retardation and other Developmental Disabilities (CAP-MR/DD) providers

The state-operated facilities include the following:

- Alcohol and Drug Abuse Treatment Centers
- Developmental Centers
- Neuro-Medical Treatment Centers
- Psychiatric Hospitals
- Residential Programs for Children

Data

The data in the following reports are for State Fiscal Year (SFY) 2008-2009, which started on July 1, 2008 and ended on June 30, 2009. This data came from multiple sources, depending on reporting requirements for the facilities, the administrative unit (division or local management entity) responsible for overseeing the facilities and/or compiling data on the deaths.

Organization of Document

The remainder of this document is organized into the following sections.

1. Report on consumer deaths related to use of restraint/seclusion.
2. Report on facility compliance with restraint/seclusion policies and procedures.
3. The Appendix, which includes:
 - A. Tables of data on consumer deaths related to use of restraint or seclusion, by type of facility, county, and names of facilities reporting deaths.
 - B. Tables of data on facility compliance with restraint/seclusion policies and procedures, by type of facility, county, and names of facilities receiving citations.
 - C. A brief summary of legal requirements and administrative rules for reporting consumer deaths and complying with restraint/seclusion policies and procedures.

Report on Consumer Deaths Related to Use of Restraint or Seclusion

Deaths Reported

This report includes data on consumer deaths reported by MH/DD/SAS facilities. All of the private licensed facilities, private unlicensed facilities, and state operated facilities are required to report the following:

- Deaths resulting from violence, accident, suicide or homicide.
- Deaths occurring within seven days after use of restraint or seclusion.

In addition, DHHS policies and procedures require some types of facilities to report other deaths. For example:

- State-operated facilities report deaths from natural causes.
- DMH/DD/SAS community-based providers report deaths of consumers who were listed on their caseloads, but were not receiving services at time of their death.

As can be seen from the above, facilities have different reporting requirements, which is likely to affect the number and types of death they report. Deaths may also be affected by types of consumers served. Thus, death included here are only those reported by all types of facilities, those that resulted from violence, accident, suicide or homicide, and deaths that occurred within seven days after restraint or seclusion. This report focuses on death reports that were screened or reviewed, investigated, and found related to restraint or seclusion.

Consumer deaths may vary over time, in response to changes in reporting requirements as well as policies and procedures. Since these factors are likely to affect death rates, any comparison of data across state fiscal years, or between different types of facilities, should be done with caution.

Summary of Data

Table A, on page 6, presents a summary of data on consumer deaths related to use of restraint or seclusion. This table shows that 171 facilities reported deaths from violence, accident, homicide, suicide, or within 7 days of restraint or seclusion. Those deaths were reported by 73 private licensed facilities, 88 private unlicensed facilities, and 10 state operated facilities.

Of 323 death reports, 84 were from private licensed facilities, 126 from private unlicensed facilities, and 113 from state operated facilities. A total of 189 of the 323 deaths were investigated, and none were found related to restraint or seclusion.

This data suggests that restraint/seclusion practices were not a factor in consumer deaths during this reporting period.

**Table A: Summary of Data
On Deaths Related to Use of Restraint or Seclusion**

Table in Appendix	Type of Facility	# Beds at Facilities	# Facilities Providing Services	# Facilities Reporting Deaths	# Death Reports Screened ¹	# Death Reports Investigated ²	# Death Reports Related to R/S ³
	PRIVATE LICENSED						
A-1	Assisted Living	39,840	1,248	45	52	30	0
A-2	Developmental Center	2,692	328	2	2	1	0
A-3	Group Home; Day/Outpatient Treatment	14,505	3,952	23	27	24	0
A-4	Psychiatric Hospital, Other Facility	2,986	73	3	3	0	0
	Subtotal	60,023	5,601	73	84	55	0
A-5	PRIVATE UNLICENSED⁴		---	88	126	126⁴	0
	STATE OPERATED						
A-6	Alcohol/Drug Treatment Ctr.	216	3	1	1	0	0
A-7	Developmental Center	1,988	3	3	32	3	0
A-8	Neuro-Medical Treatment Ctr.	875	3	3	63	4	0
A-9	Psychiatric Hospital	1,297	3	3	17	1	0
A-10	Residential Program for Children	42	2	0	0	0	0
	Subtotal	4,418	14	10	113	8	0
	Grand Total	64,441	5,615	171	323	189	0

Notes

1. All death reports are reviewed or screened.
2. Reports are investigated to confirm facts or to obtain additional information.
3. Refers to circumstances where restraint/seclusion(R/S) was found to be a factor in death, and not necessarily that it was the cause.
4. All deaths reported by these periodic service providers are reviewed by LMEs and monitored for implementation of plans of correction.

Report on Facility Compliance with Restraint/Seclusion Policies and Procedures

Data for Assessment

Citations issued by the Division of Health Service Regulation (DHSR) were used to assess facility compliance with restraint/seclusion policies and procedures. DHSR monitors compliance by licensed private facilities and the following types of state-operated facilities: developmental centers, neuro-medical treatment centers, and psychiatric hospitals. DHSR does not monitor compliance by unlicensed private facilities or by state-operated alcohol and drug abuse treatment centers and residential programs for children. Thus, there is no data on citations for the latter facilities in this report.

The following data was used to assess compliance with restraint/seclusion policies and procedures:

- The number of citations issued to facilities.
- The most and least frequent citations issued to facilities.

Restraint/seclusion citations may be affected by a variety of different factors, such as level of compliance monitoring and sanctioning and types of consumers served. Since these factors may affect facility citation rates, any comparison of data across state fiscal years or between different types of facilities should be done with caution.

Summary of Data

Table B shows that there were a total of 433 citations issued to facilities: 427 to private licensed facilities, and six to state operated facilities: The highest number of citations (380) were issued to licensed private group homes, and licensed day/outpatient treatment programs.

Table B also presents information on the most and least frequent citations. By far the most frequent citations were for inadequate restraint/seclusion training (243) and for lack of training in restraint/seclusion and isolation time out procedures (173).

**Table B: Summary of Data for Assessment of Facility Compliance
With Restraint/Seclusion Policies and Procedures**

Table in Appendix	Type of Facility	# Facilities Issued Citations	# Citations Issued to Facilities	Citations Issued to Facilities	
				Most Frequent	Least Frequent
	PRIVATE LICENSED				
B-1	Assisted Living	19	19	Inadequate use of least restrictive alternatives	Failure to get informed consent on use of restraint/seclusion
B-2	Developmental Center	4	13	Inappropriate Use of restraint/seclusion	Inadequate staffing and treatment programming for restraint/seclusion
B-3	Group Home; Day/Outpatient Treatment	253	380	Inadequate training on alternatives to restraint/seclusion	General training on restraint/seclusion policies and procedures
B-4	Psychiatric Hospital, Unit, or Other Facility	7	15	Not obtaining Physician's order for restraint/seclusion	No clear pattern
	Subtotal	283	427		
	STATE OPERATED				
B-5	Developmental Center	0	0	No citations reported for facilities	
B-6	Neuro-Medical Treatment Center	0	0	No citations reported for facilities	
B-7	Psychiatric Hospital	3	6	Restraint/seclusion orders not written according to policy	No clear pattern
	Subtotal	3	6		
	Grand Total	286	433		

APPENDICES

Appendix A

Consumer Deaths Related to Use of Restraint or Seclusion:

*Data for Investigation by Type of Facility, County,
and Names of Facilities Reporting Deaths*

Tables A-1 to A-10

Table A-1: Private Licensed Assisted Living Facilities^{1,2}

County	Facility	# Deaths Screened	# Deaths Investigated	# Deaths Related to R/S
Alamance	Burlington Care Center	1	1	0
Brunswick	Corinthian Place	1	1	0
Buncombe	Canterbury Hills Adult Care Home	1	0	0
	WNC Family Care Home #9	1	1	0
Caldwell	Camelot Manor dba Rockford Inn	2	2	0
Catawba	Catawba Valley Living at Rock Barn	2	2	0
	Spring Arbor of Hickory	1	0	0
Chatham	Cambridge Hills of Pittsboro	2	2	0
	Hill Forest Rest Home	1	0	0
Cumberland	Cedar Creek Assisted Living	2	0	0
	Countryside Villa	1	1	0
	Mann Street Residential Care	1	1	0
Durham	Eno Pointe Assisted Living	1	0	0
Forsyth	Forsyth Village	1	0	0
	Somerset Court at University Place	1	0	0
Gaston	Abingdon Place of Gastonia	2	0	0
	Country Time Inn	1	1	0
Granville	Toney Rest Home	1	0	0
Guilford	Carriage House Senior Living	2	0	0
	Morning view in Greensboro	1	0	0
Harnett	Johnson Better Care Facility	1	1	0
Haywood	Chestnut Park Rest Home #1	1	1	0
	McCracken Rest Home	1	1	0
Henderson	Druid Hills Living Center #2	1	1	0
Hoke	Open Arms Retirement Center	1	0	0
Iredell	Summit Place of Mooresville	1	1	0
Macon	Chestnut Hill Senior Living	1	0	0
McDowell	McDowell House	1	1	0
	Rose Hill Retirement Community	1	1	0
Mecklenburg	Charlotte Square	1	1	0
	The Arbors at Carriage Club	1	1	0
	The Parc at Sharon Amity	1	1	0
	Willow Ridge Assisted Living	1	0	0
Montgomery	Poplar Springs	1	1	0
New Hanover	Port South Village/Catherine S. Villa	1	1	0
Robeson	Greystone Manor	1	0	0
Rutherford	Carolina House of Forest City	1	0	0
	Union Mills Living Center #1	1	1	0
Stokes	Rose Tara Plantation	1	0	0
Transylvania	Tore's Home, Inc. #2	1	0	0
Union	Helms Rest Home	2	1	0
Wake	Lee's Long Term Care Facility, Inc.	1	1	0
	Linda's Family Care Home	1	1	0
Watauga	Mountain Care Facilities, Inc.	1	1	0
Yancey	Yancey House	1	1	0
Total	Facility Count: 45	52	30	0

Notes:

1. These included 1,248 facilities with a total of 39,840 beds.
2. Investigation initiated by referral of death reports to County Departments of Social Services by DHSR Complaint Intake Unit after screening; also may be conducted by DHSR Adult Care Licensure Section.

Table A-2: Private Licensed Intermediate Care Facilities for Mental Retardation^{1,2}

County	Facility	# Deaths Screened	# Deaths Investigated	# Deaths Related to R/S
Ashe	Ridgecrest I and II	1	0	0
Cabarrus	RHA Howell Care Center-Clear Creek	1	1	0
Total	Facility Count: 2	2	1	0

Notes:

1. These included 328 facilities with a total of 2,692 beds.
2. All deaths reviewed at time of recertification.

Table A-3: Private Licensed Group Homes and Outpatient and Day Treatment Programs¹

County	Facility	# Deaths Screened	# Deaths Investigated	# Deaths Related to R/S
Buncombe	Western Carolina Treatment	1	1	0
Cabarrus	McLeod - Concord	2	2	0
Chatham	Grays Alt. Care Group Home	1	1	0
Columbus	Coburn House	1	0	0
Craven	Port Human Services	1	1	0
Cumberland	Alternative Care Substance Abuse	1	1	0
	Fayetteville Treatment Center	1	1	0
Forsyth	Insight Human Services	1	1	0
Gaston	McLeod - Gastonia	1	1	0
Guilford	Benton Lane	1	1	0
	Greensboro Metro Treatment Ctr.	1	1	0
McDowell	McLeod – Marion	1	1	0
Mecklenburg	Charlotte Treatment Center	2	2	0
	McLeod - Youngblood	1	1	0
New Hanover	Coastal Horizons Center, Inc.	3	2	0
	New Visions	1	0	0
Polk	CooperRiis	2	2	0
Randolph	Mountainside	1	1	0
Rowan	Rowan Treatment Associates	1	1	0
Sampson	Candi's Homes	1	1	0
Union	McLeod – Monroe	1	1	0
Watauga	McLeod - Watauga	1	1	0
Total	Facility Count: 23	27	24	0

Note:

1. These included 3,952 facilities with a total of 14,505 beds.

Table A-4: Private Licensed Psychiatric Hospitals, Units and Other Facilities¹

County	Facility	# Deaths Screened	# Deaths Investigated	# Deaths Related to R/S
Catawba	Catawba Valley Medical Center	1	0	0
Henderson	Park Ridge Hospital	1	0	0
Moore	First Health Moore Regional Hospital	1	0	0
Total	Facility Count: 3	3	0	0

Note:

1. These included 6 psychiatric hospitals, 40 hospitals with acute care psychiatric units, 15 psychiatric residential facilities, 4 wilderness camps, and 8 foster care camps; These 73 facilities had a total of 2,986 beds.

Table A-5: Unlicensed Private Facilities^{1, 2}

County	Facility	# Deaths Reported	# Deaths Related to R/S
Alamance	Triumph LLC	2	0
Alleghany	New River Behavioral Healthcare	1	0
Ashe	New River Behavioral Healthcare	2	0
Avery	New River Behavioral Healthcare	1	0
Bladen	Community Innovations	1	0
Buncombe	Family Preservation Services	3	0
	Mental Health Association in NC	2	0
	October Road	1	0
	RHA Behavioral Health Services	1	0
Cabarrus	Crisis Recovery Center	1	0
Caldwell	Burke/Caldwell ACTT	1	0
Carteret	Onslow Carteret Behavioral Health	1	0
Catawba	Catawba Valley Behavioral Health	3	0
	Family NET of Catawba County	1	0
	The Cognitive Connection	1	0
Cleveland	RHA Behavioral Health Services	1	0
Craven	PORT Human Services	3	0
Cumberland	Alternative Care Treatment	1	0
	Lighthouse Counseling Center	1	0
	Mid State Health Systems	1	0
Davidson	Excel Personal Development	1	0
	Monarch	1	0
Durham	DreamWorks II	1	0
	Life Enhancement Service	1	0
	Triumph LLC	4	0
	Turning Point Adolescent Center	1	0
Edgecombe	PORT Human Services	1	0
Forsyth	Daymark Recovery Services	4	0
	REGION 3 TASC	2	0
	Triumph LLC	1	0
Gaston	ARC Human Services	1	0
	McWilliams Center for Counseling	1	0
	Pathways MH/DD/SAS	1	0
	Phoenix Counseling Center	1	0
Granville	Alpha Management Services	1	0
Guilford	Creative Learning Centers	1	0
	Psychotherapeutic Services	2	0
	Recovery Innovations of NC	1	0
	The Arc of High Point	1	0
Halifax	Carolina Behavioral Care	1	0
Harnett	Sandhills Center	1	0
Henderson	Family Preservation Services	2	0
Iredell	New River Behavioral Healthcare	1	0
Jackson	Jackson County Psychological	1	0
Lee	Sandhills Center	1	0
	VC & Associates, INC	1	0
Madison	Alpha Omega Health	1	0
Martin	Coastal Horizons Center	1	0
Mecklenburg	Assessment Solutions	1	0
	Mecklenburg Provider Services Org	1	0
	Person Centered Partnerships	2	0
	Quality Family Services	1	0
Moore	Cardinal Clinic LLC	1	0
New Hanover	Alpha Omega Health	1	0
	Preferred Alternatives	1	0

Table A-5: Unlicensed Private Facilities^{1, 2} (Continued)

County	Facility	# Deaths Reported	# Deaths Related to R/S
New Hanover	Southeastern Center MH/DD/SAS	1	0
Onslow	Onslow Carteret Behavioral Health	2	0
	RHA Behavioral Health Services	1	0
Orange	Step Clinic-UNC Dept. of Psychiatry	1	0
Pamlico	RHA Behavioral Health Services	1	0
Pasquotank	Benjamin House, Inc.	1	0
Person	Person County TASC	1	0
Pitt	East. Carolina Case Management	1	0
	PORT Human Services	2	0
Randolph	Sandhills Center	2	0
Robeson	Crossroads & Associates, Inc.	1	0
	Family Alternatives	2	0
	Mental Health Association in NC	1	0
Rockingham	Rockingham County MHC	1	0
Rowan	Daymark Recovery Services	1	0
Rutherford	Family Preservation Services	1	0
Sampson	Easter Seals/ United Cerebral Palsy	1	0
Stanly	Arc Services (Monarch)	1	0
	Daymark Recovery Services	5	0
Stokes	Triumph LLC	1	0
Surry	Carolina Child & Family Services	1	0
	Crossroads Behavioral Healthcare	3	0
	Easter Seals/ United Cerebral Palsy	1	0
	New River Behavioral Healthcare	5	0
Union	Daymark Recovery Services	3	0
Vance	Family Preservation Services	1	0
Wake	A United Community	1	0
	Triumph LLC	1	0
Watauga	New River Behavioral Healthcare	1	0
Wilkes	New River Behavioral Healthcare	4	0
	Region 3 TASC Services	1	0
Wilson	Aspirations & Miracles	1	0
	PORT Human Services	1	0
Total	Facility Count: 88	126	0

Notes:

1. These included private facilities not requiring license by G.S. 122C.
2. All deaths reported by unlicensed facilities are reviewed by the LME and DMH/DD/SAS. LMEs require these facilities to develop plans for correcting identified problems and monitor their implementation of those plans.

Table A-6: State Alcohol and Drug Abuse Treatment Centers¹

County	Facility	# Deaths Screened	# Deaths Investigated	# Deaths Related to R/S
Buncombe	Julian F. Keith	1	0	0
Granville	R.J. Blackley	0	0	0
Pitt	Walter B. Jones	0	0	0
Total	Facility Count: 3	1	0	0

Note:

1. These three facilities had a total of 216 beds.

Table A-7: State Developmental Centers¹

County	Facility	# Deaths Screened	# Death Investigated ²	# Deaths Related to R/S
Burke	J. Iverson Riddle	13	3	0
Granville	Murdoch	10	0	0
Lenoir	Caswell	9	0	0
Total	Facility Count: 3	32	3	0

Note:

1. These three facilities had a total of 1988 beds. .

Table A-8: State Neuro-Medical Treatment Centers¹

County	Facility	# Deaths Screened	# Death Investigated ²	# Deaths Related to R/S
Buncombe	Black Mountain	16	0	0
Wayne	O'Berry ²	12	4	0
Wilson	Longleaf	35	0	0
Total	Facility Count: 3	63	4	0

Notes:

1. These three facilities had a total of 875 beds.

2. Includes 463 beds licensed the same way as beds in developmental centers.

Table A-9: State Psychiatric Hospitals¹

County	Facility	# Deaths Screened	# Deaths Investigated	# Deaths Related to R/S
Burke	Broughton	6	0	0
Granville	Central Regional ²	5	1	0
Wayne	Cherry	6	0	0
Total	Facility Count: 3	17	1	0

Notes

1. These three facilities had a total of 1,297 beds.

2. Includes Dorothea Dix Hospital in Wake County

Table A-10: State Residential Programs for Children¹

County	Facility	# Deaths Screened	# Death Investigated	# Deaths Related to R/S
Durham	Wright School	0	0	0
Granville	Whitaker School	0	0	0
Total	Facility Count: 2	0	0	0

Note:

1. These two facilities had a total of 42 beds.

Appendix B

Compliance with Restraint/Seclusion Policies and Procedures:

*Data for Assessment by Type of Facility, County,
and Names of Facilities Receiving Citations*

Tables B-1 to B-9

Table B-1: Private Licensed Assisted Living Facilities

County	Facility	# Citations
Bertie	Windsor House	1
Brunswick	Shallotte Assisted Living	1
Caswell	Ellison's Family Care Home #6	1
Davidson	Hilltop Living Center	1
Duplin	Golden Care	1
Durham	Spring Arbor of Durham	1
Franklin	Carebridge Assisted Living	1
Harnett	Primrose Villa Retirement IV	1
Martin	Vintage Inn	1
Mecklenburg	Carmel Hills	1
New Hanover	Remington Place	1
	Oakdale Heights Wilmington	1
Pitt	Oak Haven Assisted Living	1
Rutherford	Hillcrest Rest Home, Inc.	1
Wake	Lee's Long Term Care Facility, Inc.	1
	Heart fields at Cary	1
	Magnolia Glen	1
	Wake Assisted Living	1
Wayne	Goldsboro Assisted Living & Alzheimer's Care	1
Total	Facility Count: 19	19

Table B-2: Private Licensed Developmental Centers

County	Facility	# Citations
Buncombe	WNC-Kenmore	5
Watauga	Wildcat Group Home	6
Wake	Rockwood Group Home	1
Rowan	Rockwell I & II	1
Total	Facility Count: 4	13

Table B-3: Licensed Private Group Homes and Day/Outpatient Treatment Programs

County	Facility	# Citations
Alamance	Angelic Hearts	2
	Crestview Group Home #2	1
	Gilford	2
	Kings Group Home	2
	Lillie's Place	1
	New Dimensions Interventions Home	2
	Opportunities in Abundance	4
	Phoenix Bridge Group Home #1	4
	Phoenix Bridge Group Home #2	2
	Phoenix Bridge Group Home #3	2
	Sunrise Pointe	2
	The Alamance Academy	2
Beaufort	Higher Deployment, LLC	1
	Lauren's Way	1
	Phoenix Center	1
	Potter's House of Beaufort County Inc.	2
Bertie	Kasheena House	1
	Windsor House	1
Bladen	Camp E-Tik-Etu	1
	Positive Reinforcement	1
Buncombe	1st of Blue Ridge	1
	Carolina Mountain DDA Group Home	1
	Crossroads Treatment Center	1
	Ellenwood	1
	Fairview House	1
	Patton Counseling	1
	Restored Hope	1
	Restoring Dreams, Inc.	1
Burke	Baptist Camp Road Group Home	1
Cabarrus	Flynn Christian Fellowship Home	1
	McLeod- Concord	2
	Milton Home	3
	Serenity House	1
	Todd House	2
	UPS-Morehead	2
	Windemere	1
	Devereaux Home	2
Caldwell	VOCA-Elm	1
Carteret	Camp E Ma Henwu	1
Caswell	Blevins House	2
	Boyd's Corner House	2
Catawba	Catawba County Group Home #8	1
	Corner House I	2
	Hickory House	1
	Holly House	1
	McLeod's Hickory	1
	Seventh Avenue Group Home	2
	Team Success Youth Home	3
	Valleyfield Home	2
Chatham	Chatham County Group Home #3	2
	Nooe House A	1
	Nooe House B	1
	Three Springs of North Carolina	1
Cherokee	Pleasant Hill Group Home	1
	The River House	1
Cleveland	Charles Pointe Children's Home	1
	Landing St. Group Home	1
	Choices	1
Cumberland	A Positive Life	1
	El Elyon Care Services	1
	Forever Young Group Care II	1

Table B-3: Licensed Private Group Homes and Day/Outpatient Treatment Programs (Continued)

County	Facility	# Citations
Cumberland	Health Wise Therapeutic Services	1
	Manchester Home	1
	Visions Residential	1
	Woodbridge Alternative at Stoneykirk	1
Davidson	Davidson #1	1
	Davidson #2	1
	Davidson #3	1
	Davidson #4	1
	Davidson House	4
	Fairview House	1
	Southmont Home	1
Davie	New Beginnings Apt 201B	2
	New Beginnings Apt 202C	2
Duplin	Tri-County Group Home	1
Durham	Adventure House	1
	Break Out, LLC	1
	Care Health Services 1	1
	Chestnut Manor	2
	Community House II	1
	Devereux Residential Services, LLC #2	1
	DHD Group Home	1
	Fair Fax	1
	Graves Group Home	2
	Inner Wealth	2
	Johnson's House of Hope Family Care Homes, LLC	1
	Outreach Home	1
	Outreach Home 3	1
	Outreach Home II	1
	Providence Place, Inc.	1
Durham	Providence Place, Inc.	2
	Rose's Castle Residential Services	1
	Star Health Services(Spring Hill)	1
	TLC Adult Group Home	2
Forsyth	Addiction Recovery Care Association	1
	Ardsley Street	1
	C&W Alternative Family Living	2
	Davis Cottage	2
	Ebenezer House	2
	Fellowship	1
	G&D Quality Care	2
	Garvin's Mental Management	1
	Hawley House	1
Forsyth	Home Care	2
	Insight Human Services	2
	Jones Caring Services	2
	Oliver Christian Home	2
	Group Homes of Forsyth - Pressman	1
	Raven Ridge	1
	Salem House	1
	Spanish Oaks	1
	WTB New Vision - Hairston Home	2
Gaston	WTB New Vision - Rocks Home	2
	14th Street II	1
	Cornerstone Christian Center	1
	Ohio Ave. I	1
	Ohio Ave. II	1
	River Wind	1
	The Flynn Fellowship Home of Gastonia	1
Granville	Healing Hearts, Inc.	1
Greene	Ambleside	1

Table B-3: Licensed Private Group Homes and Day/Outpatient Treatment Programs (Continued)

County	Facility	# Citations
Greene	Fairfax	1
	Gerry's Loving Hands	1
	Lucille's Behavioral, Inc.	1
	Mary Taylor Homes, Inc.	1
	Alamance Assisted Living Home	1
Guilford	Alamance House	1
	Alcoholics Home	1
	Arturo Place	1
	Brighter Path Family Care #2	2
	Bryson's Place	3
	Greensboro Metro Treatment Center	1
	Haven House Group Home #1	2
	Lochwood Place II	2
	Mag's House	3
	Mary's House	1
	Mercy Home Services, Inc.	2
	NC Absolute Care	2
	Northwest House	2
	Open Arms	2
	Precious Pearls Group Home	1
	Premium Care Home of NC	2
	Ree's Residential Facility	2
	Sister's of Loving Care	1
	Successful Transitions	3
	The Arc of High Point - Dogwood	3
	The Berryman House	1
	Triad Center for Youth	2
	Wynmere Place	2
	York House	2
	Youth Focus Residential Treatment Center	1
	Youthful Image, Inc. II	2
	Balsam Road Home	1
Haywood	Dedicated Family Inspirations	1
Hoke	Lend a Helping Hand	1
	Crisis and Recovery Center	2
Iredell	Stony Point	2
	Valley brook I	2
	Valley Brook II	2
	Winchester I	2
	Winchester II	2
	Tender Love Independent Home Care	1
Johnson	Ackerman House	1
Lenoir	Pinewood	1
	Lincoln Children's Home-South	1
Lincoln	2nd II None - Barnhart	1
Mecklenburg	2nd II None- Rockwood Forest	1
	Braxfield House	3
	CHCS-Crisis Unit	2
	Echelon 4	1
	Echelon I	1
	Echelon III	1
	Farmgate	2
	Janice Ingram Home	1
	Matta Home - Promise Keepers	1
	Matta - New Beginnings	2
	Mecklenburg County Substance Abuse Services Center	1
	Monteith	2
	Simplicity Care #2	2
	The Keys of Carolina	6
	Williamson Cottage	1
Nash	Impact One	1

Table B-3: Licensed Private Group Homes and Day/Outpatient Treatment Programs (Continued)

County	Facility	# Citations
New Hanover	Topper House LLC	1
Onslow	Ford Home #2	1
	Ms. Ruthie's Learning Center	1
Orange	Jacob's Tree House	2
Pasquotank	Benjamin House	2
	Chesterfield	1
	Church Street	4
	Oakdale Drive	2
Pitt	Divine Guidance Integrative Services II	3
	Emmanuel Residential Services	1
	Health plus Therapeutic Services Michael House	1
	Home for Angels	1
	Infinity Options	2
	Infinity Options Residential Facility	2
	My Savior Family Care Home, Inc Three	1
	Pitt County Group Home #4	2
Polk	Polk Place	1
Robeson	Future Innovations Girls Facility	2
	The Rossberry Home of Fairmont	1
Rockingham	Amos Street House	2
	Bedford House	1
	Cedar Place	2
Rowan	Cabarrus County Group Home #7	1
	Harrell St	1
	Hickory Lane	1
	Liberty Home	2
	New Hope	2
	Rowan Treatment Associates	4
	Timber Ridge Treatment Center	2
Sampson	Parker Residence	1
Stanley	Sari's House	2
Stokes	Stokes Opportunity Center	1
Surry	Camp Emuntalee	2
	Hunter House	1
	Johnson Ridge	1
	Lebanon House	1
	Spring Street	1
Union	Blakeley	1
	Friendship Home	1
	Stewart Street Home	1
Wake	Agape House	1
	Carolyn's Assistant Living	1
	Crestview	1
	Ford gate	1
	Fresh Start Residential IV	1
	Herbert Reid Home	1
	Omega Independent. Living Services. #3	1
Warren	Estes Living Easy Group Home-Norlina	3
	Gavin & Downey Heavenly Living Home	2
	Wrotham's Group Home, LLC	1
Watauga	Creek side	1
	Kellwood Group Home	1
Wayne	A Healthy Haven	1
Wilson	Abundance of Love Children's Homes	1
	C & B Assisted Living	1
	Dunn's House of Love & Devoted Care, Inc.	2
	Johnson's Services	1
	Wellman Center #1	2
Yadkin	Booneville Group Home	1
Total	Facility Count: 253	380

Table B-4: Licensed Private Psychiatric Hospitals, Units, and Other Facilities

County	Facility		# Citations
Buncombe	Memorial Mission		1
Catawba	Frye Regional Medical Center		2
Durham	Duke University Hospital		2
Forsyth	Old Vineyard		2
Guilford	High Point Regional Hospital		5
Guilford	Moses H Cone Memorial Hospital		2
Henderson	Park Ridge Hospital		1
Total	Facility Count: 7		15

Table B-5: State Developmental Centers

County	Facility		# Citations
Burke	J. Iverson Riddle		0
Granville	Murdoch		0
Lenoir	Caswell		0
Total	Facility Count: 3		0

Table B-6: State Neuro-Medical Treatment Centers

County	Facility		# Citations
Buncombe	Black Mountain		0
Wayne	O'Berry		0
Wilson	Longleaf		0
Total	Facility Count: 3		0

Table B-7: State Psychiatric Hospitals

County	Facility		# Citations
Burke	Broughton		1
Granville	Central Regional ¹		3
Wayne	Cherry		2
Total	Facility Count: 3		6

Note:

1. Includes Dorothea Dix Hospital in Wake County

Table B-8: Most and Least Frequent Restraint/Seclusion Citations Issued to Private Licensed Facilities

Type of Facility	Citations Issued to Facilities		
	Total	Most Frequent	Least Frequent
LICENSED ASSISTED LIVING	19	<ul style="list-style-type: none"> • Failure to obtain physician order Inadequate restraint/seclusion assessment • Insufficient use of least restrictive alternatives. (14 citations) 	<ul style="list-style-type: none"> • Failure to get informed consent for restraint/seclusion (1 citation) • Inadequate assessment and patient care planning (4 citations)
LICENSED DEVELOPMENTAL CENTERS	13	<ul style="list-style-type: none"> • Inappropriate use of restraint/seclusion (2 citations) 	<ul style="list-style-type: none"> • Inadequate staffing and treatment programming for restraint/seclusion • Use of restraint/seclusion technique and materials; problems in record keeping (11 different citations)
LICENSED GROUP HOMES; LICENSED DAY/OUTPATIENT TREATMENT PROGRAMS	380	<ul style="list-style-type: none"> • Inadequate training on alternatives to restraint/seclusion (243 citations) • Lack of training in restraint/seclusion and isolation time out (173 citations) 	<ul style="list-style-type: none"> • Insufficient use of least restrictive alternatives (11 citations) • General training on restraint/seclusion policies and procedures (6 citations)
Licensed Psychiatric Hospitals, Units, and Other Facilities	15	<ul style="list-style-type: none"> • Physician's order for restraint not obtained (5 citations) • Time limited order for restraint not obtained (3 citations) • Death of patient restrained not reported to CMS (2 citations) 	<ul style="list-style-type: none"> • Patient not monitored while restrained (1 citation) • Restraint orders written for on as needed basis (1 citation) • Licensed practitioner responsible for care was not consulted (1 citation)

Table B-9: Most and Least Frequent Restraint/Seclusion Citations Issued to State Operated Facilities

Type of Facility	Citations Issued to Facilities		
	Total	Most Frequent	Least Frequent
Developmental Centers	0	No citations reported for these facilities	
Neuro-Medical Treatment Centers	0	No citations reported for these facilities	
Psychiatric Hospitals	6	<ul style="list-style-type: none"> • Restraint orders not written according to policy (2 citations) • Safe and appropriate restraint/seclusion technique not performed (1 citation) • Restraint orders written for on an as needed basis (1 citation) • Patient not monitored after release from restraint/seclusion (1 citation) • Restraint order not time limited (1 citation) 	

Appendix C

Legal Requirements and Administrative Rules

A Brief Summary

Legal Requirements and Administrative Rules:

A Brief Summary

North Carolina's Session Laws (S.L.), General Statutes (G.S.), House Bills (H.B.) and Administrative Codes specify legal requirements and administrative rules for reporting consumer deaths and assuring facility compliance with restraint/seclusion policies and procedures. In particular, G.S. 122C-31, G.S.131D-10.6B, and G.S. 131D-34.1, as amended by S.L. 2000-129 (H.B. 1520) and S.L. 2003-58 (H.B. 80), requires certain types of facilities to notify the Department of Health and Human Services (DHHS) of deaths that:

- Resulted from violence, accident, suicide or homicide; or
- Occurred within seven days after use of restraint or seclusion.

In addition, S.L. 2000-129, Section 3(b), 5(b) and 6(b), as amended by S.L. 2003-58, Sections 1-4, requires DHHS to report those deaths annually to the Joint Legislative Oversight Committee on Mental Health, Developmental Disabilities and Substance Abuse Services. G.S. 122C-31, G.S. 131D-10.6, and G.S. 131D-34.1 specifies that those reports include the following information:

- The number of deaths reported by each facility.
- The number of deaths investigated pursuant to those statutes.
- The number of deaths found by investigation to be related to restraint/seclusion.

Furthermore, S.L. 2000-129 and S.L. 2003-58 requires DHHS to report facility compliance with restraint/seclusion policies and procedures. Toward this end, DHHS collected data from on-site investigations, inspections, and monitoring visits, and included the following information in this report as well as previous reports:

- The number of citations for violations of restraint/seclusion policy and procedure.
- The most and least frequently reported restraint/seclusion citations.

North Carolina Administrative Code (NCAC), in 10A NCAC 27G.0600, provides specific instructions for reporting consumer deaths:

- Facilities licensed in accordance with G.S. 122C, Article 2, state facilities operating in accordance with G.S. 122C Article 4, Part 5, and inpatient psychiatric units of hospitals licensed under G.S. 131E, report deaths to the Division of Health Service Regulation (DHSR).
- MH/DD/SAS facilities not requiring licensure and facilities licensed in accordance with G.S. 122C Article 2, report deaths to the Division of Mental Health, Developmental Disabilities, and Substance Abuse Services (DMH/DD/SAS).

In general, changes made in legal requirements and administrative rules in one state fiscal year are reflected in data reported for the next state fiscal year.