South Dakota Department of Social Services

Department of Social Services
Office of Licensing and Accreditation
3900 W Technology Circle, Suite 1
Sioux Falls, SD 57106

Program Name:
Dakota Counseling Institute
Mental Health Services
Due Date: 6/7/2024

Plan of Correction Items

The following administrative rules were found to be out of compliance. In a State accreditation review, Administrative Rule requires a plan by the agency to bring these items into compliance in order for accreditation to be renewed. Failure to provide a plan could result in suspension or revocation of accreditation.

Plan of Correction 1	
Rule #: 67:62:06:06 (1)	**Rule Statement: Personnel Policies and Records.** An agency shall maintain personnel policies and records for all staff, including provisions for equal employment opportunities. An agency shall maintain a personnel file for each staff member, including any contracted staff intern or volunteer. The file must contain: 1. The application filed for employment or resume and transcripts or diploma and continuing education.
Area of Noncompliance: Some personnel files contained applications for employment, while others contained resumes. Those that contained resumes did not also contain transcripts. The Office of Licensing and Accreditation recommends requiring the same documentation for every employee, so as to ensure all personnel files meet all requirements.	
Corrective Action (policy/procedure, training, environmental changes, etc): Human Resources staff will require all applicants to fill out an application for employment, which, if the person is hired, will become part of the employee's personnel file. Some supervisors may also include resume and transcripts.	**Anticipated Date Achieved/Implemented:** **Date** 5/1/24
Supporting Evidence: All personnel files will have an application for employment.	**Position Responsible:** Human Resources manager
How Maintained: HR staff will require all job applicants to fill out an Application for Employment.	**Board Notified:** Y ☒ N ☐ n/a ☐

Plan of Correction 2	
Rule #: 67:62:08:08	**Rule Statement: Treatment Plan Review – Six Month Review.** A mental health staff member shall review the treatment plan at least once every six months and update, if needed. The treatment plan review must include documentation of any progress made toward treatment goals or objectives, significant changes to treatment goals or objectives, and a justification for a continuation of mental health services. Treatment plan reviews may be

	documented in the progress notes or case record. Changes in the client's treatment plan goals or objectives must be documented in the treatment plan. Treatment plan reviews must include the mental health staff's signature and credentials, and the date.

Area of Noncompliance: Three of six applicable reviewed CYF files and two of four applicable reviewed outpatient mental health files were missing six month reviews. Dakota Counseling Institute must outline a plan to complete six month treatment plan reviews on time.

Corrective Action (policy/procedure, training, environmental changes, etc): DCI will use flag reminders in EHR to alert clinicians about Treatment Plan Reviews being due. DCI will re-design EHR dashboards for all clinicians to show upcoming due dates for Treatment Plan Reviews for all assigned clients.	**Anticipated Date Achieved/Implemented:** **Date** 9/1/2024
Supporting Evidence: Re-designed dashboards for all clinicians in EHR, along with flag reminders upon opening client charts in EHR at ten days prior to treatment plan reviews being due. Supervisors will be alerted on their EHR dashboards to supervisees' treatment plans that are due.	**Position Responsible:** Administrative staff
How Maintained: These changes will be part of EHR. Supervisors will remind clinicians if treatment plans are not completed.	**Board Notified:** Y ☒ N ☐ n/a ☐

Plan of Correction 3	
Rule #: 67:62:08:09	**Rule Statement: Supervisory Reviews.** Staff meeting clinical supervisory criteria as defined in ARSD 67:62:01:01, shall annually conduct at least one of the client's treatment plan reviews. This review must include documentation of: 1. Progress made toward treatment goals or objectives; 2. Significant changes to the treatment goals or objectives; 3. Justification for the continuation of mental health services; and 4. Assessment of the need for additional services or changes in services, if applicable. This review qualifies as a six month review, pursuant to ARSD 67:62:08:08. The annual supervisory review must include the clinical supervisor's signature and credentials, and the date.

Area of Noncompliance: Three of five applicable reviewed CYF files were missing supervisory reviews.

Corrective Action (policy/procedure, training, environmental changes, etc): EHR changes regarding flags for treatment plan reviews due will be in place for clinicians as well as clinical supervisors, with the Clinical Director getting information on all clinical staff. Clinical Director will remind all clinical supervisors that supervisory review is due annually on the one-year mark. Clinical Director will train all clinical supervisors on the mandatory components of a supervisory review per ARSD 67:62:08:08.	**Anticipated Date Achieved/Implemented:** **Date** 9/1/2024
Supporting Evidence: Clinical Supervisors will sign a statement regarding having been trained in appropriately conducting supervisory reviews and all necessary components of a Supervisory Review, pursuant to ARSD 67:62:08:08. EHR dashboard of all Clinical Supervisors will show flags of	**Position Responsible:** Clinical Director Clinical Supervisors

Treatment Plan Reviews due, and will identify those reviews that are to be Supervisory Reviews.	
How Maintained: Dashboard and flag changes in EHR are permanent and will be part of training for any new clinical staff and clinical supervisory staff.	**Board Notified:** Y ☒ N ☐ n/a ☐

Signature of Agency Director: Michelle L. Carpenter	6/5/2024

Please email or send Plan of Correction to:

Department of Social Services
Office of Licensing and Accreditation
3900 West Technology Circle, Suite 1
Sioux Falls, SD 57106

Email Address: DSSLicAccred@state.sd.us

The Department of Social Services, Office of Licensing and Accreditation has reviewed and accepted the above plan.

Signature of Licensing Staff: Chi Kuyn	Date: 6/10/24