**LICENSING RENEWAL STUDY**
**INTENSIVE RESIDENTIAL TREATMENT CENTERS**
**ARSD 67:42:01, 67:42:15**

Agency Name: Aurora Plains Academy (APA) (R12450)

Agency Director: Johnathon Trunkey

1. Licensing Requirements – 67:42:07:11.01; 67:42:15:02; SDCL 26-6-11

| | Yes | No |
|---|---|---|
| A. The following have been submitted to the Department: | | |
| 1. Application materials for license. | ✓ | |
| 2. Documentation to verify the agency/facility is currently accredited by COA, CARF or JC or making progress in pursuit of accreditation. | ✓ | |
| B. A statement of compliance with the Civil Rights Act of 1964 is included in the agency's policies or is a part of the purchase of service contract with the Department. | ✓ | |

Comments:

An application for license renewal dated October 18, 2023 is on file in the licensing record. It contains a signed statement of compliance with the Civil Rights Act of 1964. APA decreased their license capacity from 78 to 42. A copy of an accreditation report from the Council on Accreditation (COA) approving the agency through July 31, 2024 was provided with the application materials.

2. Agency Responsibilities – SDCL 26-6-11

| | YES | NO |
|---|---|---|
| A. The building and equipment needs of the organization are adequately met. | ✓ | |
| B. The agency has sufficient funds to meet the needs of the community. | ✓ | |

Comments:

The reviewers found the facility to be adequately furnished and maintained to provide for the needs of the residents. The agency is currently painting areas of the facility and updating the sensory rooms. Financial reports submitted with the application for license renewal indicate the availability of sufficient funds to provide for the needs of the program.

3. Insurance - 67:42:01:35

| | YES | NO |
|---|---|---|
| A. Vehicles used to transport clients have appropriate passenger liability insurance. | ✓ | |
| B. The agency carries public liability insurance. | ✓ | |

Comments:

Auto liability (policy # BA0000002850BA), commercial/professional liability and umbrella liability insurance coverage (policy # MPA00000002849BA) is purchased from Harleysville Mutual Insurance company. A copy of the Certificate of Liability Insurance verifying coverage through October 1, 2024 was submitted with the application for license renewal and is on file in the licensing record.

4. Accounting Systems - 67:42:01:34

| | YES | NO |
|---|---|---|
| A. An audit of the accounts has been done in the last year by a CPA. | ✓ | |

Comments:

An audit of Aurora Plains Academy financial statements for the period ending December 31, 2022 was completed by Carlon & Millar, Prof. L.L.C., CPA's on May 30, 2023. A copy of the audit report, including a

summary to the Board of Directors was submitted with the application for license renewal.

5. Staff Qualifications - 67:42:15:04; 67:42:15:05; 67:42:15:06; 67:42:15:07; 67:42:15:08

| A. Program Director | YES | NO |
|---|---|---|
| 1. Masters Degree in an accredited behavioral or social science area plus four years relevant alternative childcare experience; or | N/A | |
| 2. Bachelors Degree in an accredited behavioral or social science area plus six year's relevant alternative child care experience. | ✓ | |

Comments:

Johnathan Trunkey (LMHC, CHMS, MHP, CDPT, LPC#20752, exp.11/30/2024) took over as director in August of 2022. Johnathan has his BA in Social Work and Master's in Community Counseling. Johnathan has extensive experience to meet the requirement of relevant alternate childcare experience. This experience includes positions as an Intensive Outpatient Program Coordinator, Social Services Director, Clinical and Contracts Manager, and was previously the Clinical Director at APA for two years.

| B. Counselor/Therapist | YES | NO |
|---|---|---|
| 1. Masters Degree in social work, counseling, psychology or other behavioral science; or | ✓ | |
| 2. Bachelor's Degree in accredited social or behavioral science plus three years working with difficult adolescents. | ✓ | |
| 3. Hold's license in applicable field if available. | ✓ | |
| 4. Caseload of no more than 12 children, or 6 if doing both therapy and case management. | ✓ | |

Comments:

Jewell Wonnell, MA is Science Clinical Mental Health Counseling, (LPC#20625, exp.11/30/2024) is the Director of Clinical Services.

| C. Case Manager | YES | NO |
|---|---|---|
| 1. Bachelor's Degree in accredited behavioral or social science area; or | ✓ | |
| 2. Equivalent combination of education and experience. | ✓ | |
| 3. Caseload of no more than 12 children, or 6 if doing both therapy and case management. | ✓ | |

Comments:

APA currently employs two case managers who meet the requirements listed above.

| D. Direct Care Staff | YES | NO |
|---|---|---|
| 1. At least one of three staff per unit has a Bachelor's Degree in behavioral or social science area; or | ✓ | |
| 2. Forty-eight credit hours of post-high school education and one year child group care experience that includes behavior management and intervention, recreational and therapeutic activities, and participation in assessment and case planning. | ✓ | |

| | | | |
|---|---|---|---|
| 3. | Staff that do not meet the requirements of 1 or 2 are under the supervision of a staff member who provides direct care to children and meets the requirements of 1 or 2. | N/A | |
| 4. | If under age twenty-one, is under direct supervision of an experienced child care staff; and 3 years older than any children supervised. | N/A | |

Comments:

A list of employees as well as date hired, job position and education were included in the application materials. A staff schedule was provided with the licensing renewal materials along with a list of staff employed by APA, their position held, and education with area of study. The staff schedule reflects that APA meets the requirements of ARSD: 67:42:15:05 if the schedules are followed.

| 6. Staff-Child Ratio - 67:42:15:14 | YES | NO |
|---|---|---|
| A. 1:3 during waking hours. | ✓ | |
| B. 1:6 during sleeping hours in each living unit. | ✓ | |
| C. Arrangements made for substitute staff during vacations, illness, or off-duty time of regular staff. | ✓ | |
| D. Certified special education teachers are employed as appropriate. | ✓ | |
| E. Provisions are made for auxiliary staff members, i.e., mental health professionals, physical therapist, and/or occupational therapist as needed to fulfill the facility's defined purposes. | ✓ | |
| F. A minimum of two adults are on the grounds at all times when children are present. | ✓ | |
| G. The facility has a written plan to ensure that staff, law enforcement, or appropriate emergency responders are available at the center within a reasonable time in the event of an emergency. | ✓ | |

Comments:

The staff schedule submitted indicated Aurora Plains Academy is within staff to child ratio at all times for all Units/Cottages if followed. The staff schedule submitted indicates a Core Staff Supervisor is assigned to each shift throughout the day and night in addition to Youth Development Specialist.

7. Personnel Records - 67:42:07:07; 67:42:07:08; 67:42:07:09, 67:42:15:15, 67:42:15:16

| A. Personnel records are maintained and contain the following: | YES | NO |
|---|---|---|
| 1. Resume or application that includes educational background, personal, and employment history. | ✓ | |
| 2. Job description. | ✓ | |
| 3. Annual performance appraisal. | ✓ | |
| 4. Verification of contact with at least three former employers or professional references if former employers not available. | ✓ | |
| 5. Verification of screening for substantiated reports of child abuse or neglect. | ✓ | |

| | See | Comments |
|---|---|---|
| 6. Verification of submission of fingerprints to the DCI/FBI within fourteen days following employment. | | |
| 7. Verification of sex offender registry checks. | ✓ | |
| 8. Verification of current certification in basic 1st aid and CPR. | ✓ | |
| 9. At least one official onsite designated to authorize the Reasonable and Prudent Parent Standard. | ✓ | |

Comments:
Records reviewed contained documentation to verify compliance with the above requirements, except Personnel files reviewed did not contain documentation the staff's fingerprints were submitted to the Criminal Investigation and the Federal Bureau of Investigation Identification Division not later than fourteen calendar days following employment. See Corrective Action Plan.

| 8. In-service Training - 67:42:15:15; 67:42:15:16 | YES | NO |
|---|---|---|
| A. There is a written plan for orientation and training for staff and volunteers. | ✓ | |
| B. Each employee has a documented record of an initial orientation to the center within one month of the date of hire that includes the facility's functions, services, community resources and specific job functions. | ✓ | |
| C. Each employee has a documented record of a minimum of fifty hours annual in-service training. | ✓ | |
| D. Each employee receives in-service training during the first year of employment that includes all of the areas required in 67:42:15:16. | ✓ | |
| E. Training for all employees after the first year of employment is determined by an annual evaluation, is competency based and includes five hours in a nationally recognized program of behavior management techniques and five hours of training in specials areas used to provide services. | ✓ | |

Comments:
Records reviewed contained documentation to verify compliance with the above requirements.

| 9. Reporting Suspected Child Abuse or Neglect, Changes in Circumstances and unusual incidents - 67:42:01:12; 67:42:07:15; 67:42:07:16: 67:42:07:29; | YES | NO |
|---|---|---|
| A. The facility has a written procedure for handling and reporting suspected in-house CA/N. It includes: | ✓ | |
| 1. A definition of what constitutes CA/N; | ✓ | |
| 2. Immediate reporting to DSS or law enforcement; | ✓ | |
| 3. A procedure for assuring the incident will not recur pending the investigation; | ✓ | |
| 4. A procedure for evaluating the continued employability of any staff member involved in an incident of CA/N. | ✓ | |
| B. Each employee has signed a statement acknowledging and understanding the reporting procedure. | ✓ | |
| C. The facility is aware of its need to report any changes of circumstances that may affect its licensed status or unusual incidents. | ✓ | |

Comments:

Aurora Plains Academy has written procedures for reporting suspected abuse or neglect, changes in circumstances, and unusual incidents relating to the above requirements.

10. Treatment - 67:42:01:01(7); 67:42:01:21; 67:42:07:10; 67:42:15:01; 67:42:15:03; 67:42:15:09; 67:42:15:10; 67:42:15:11; 67:42:15:12; 67:42:15:18; 67:42:15:19; 67:42:15:20

| A. There are written procedures relating to: | YES | NO |
|---|---|---|
| 1. Intake. | ✓ | |
| 2. Treatment. | ✓ | |
| 3. Discharge. | ✓ | |
| 4. Confidentiality. | ✓ | |
| 5. Behavior management and passive physical restraint. | ✓ | |
| 6. On-going and emergency health care of children. | ✓ | |
| 7. Emergency procedures in case a child is injured. | ✓ | |
| 8. Discipline. | ✓ | |
| 9. Family Services. | ✓ | |
| 10. Aftercare services | ✓ | |
| 11. The child's parent or guardian has signed and dated a statement that lists the specific policies covered as verification that the facility provided the required information. | ✓ | |
| 12. Reasonable and Prudent Parent Standard | ✓ | |

Comments:

Records reviewed contained documentation to verify compliance with the above requirements.

| B. Children attend an on-grounds school. | ✓ | |
|---|---|---|

Comments:

Educational services are provided under an agreement with the Plankinton School District.

| C. Required services are provided by the facility as follows: | | |
|---|---|---|
| 1. Psychological services; | ✓ | |
| 2. Case services treatment planning; | ✓ | |
| 3. Case management; | ✓ | |
| 4. Psychiatric services; | ✓ | |
| 5. Family services; | ✓ | |
| 6. Transitional services; and | ✓ | |
| 7. Aftercare services. | ✓ | |

Comments:

Aurora Plans Academy written policies relate to the provision of the above required services for youth in the program. The facility contracts with Dr. Chiu to provide required services. Documentation in records reviewed of youth in care indicates the above services are provided.

| | | | |
|---|---|---|---|
| D. | The facility employs a full-time licensed nurse with 24-hour access to medical care provided by a nurse or hospital emergency room. | ✓ | |
| E. | Case records are maintained and include the following: | | |
| 1. | Face sheet/application form with identifying information. | ✓ | |
| 2. | Documentation to verify the child meets IRTC and PRTF eligibility. | ✓ | |
| 3. | Treatment plan developed and signed by the treatment team that includes the child, parent or guardian, IRTC Case Manager, counselor or therapist, IRTC teacher, psychiatrist, psychologist and placing agency staff. | ✓ | |
| 4. | Treatment plans are established within fourteen days of placement. | See | Comments |
| 5. | Treatment plans are based on assessment of the child's medical, psychological, social, behavioral and developmental needs, strengths, weaknesses and problems and reflect the need for IRTC. | ✓ | |
| 6. | Treatment plans contain treatment goals and objectives for the child and their family with an integrated program of therapies, activities and experiences designed to meet the goals. | ✓ | |
| 7. | Treatment plans include conditions for discharge, and a discharge plan that includes: | | |
| a. | Projected date of discharge; | ✓ | |
| b. | Responsibilities of provider, child, family and placing agency; | ✓ | |
| c. | Transitional services to be provided and by whom; | ✓ | |
| d. | Crisis and emergency plans; | ✓ | |
| e. | Links with resources and preparation to navigate adult system if 16 or older; | ✓ | |
| f. | Aftercare services; | ✓ | |
| g. | List of responsible persons; and | ✓ | |
| h. | Involvement of Tribe in aftercare planning if Native American. | ✓ | |
| 8. | Treatment plan is reviewed at least every 30 days and a progress report sent to placement agency. | ✓ | |
| 9. | Evidence of application of the Reasonable and Prudent Parent Standard. | ✓ | |
| 10. | Physical exam (three months prior to or one month following admission). | ✓ | |
| 11. | Current immunization record. | ✓ | |
| 12. | A signed authorization for medical care at the time of placement. | ✓ | |

| | | | |
|---|---|---|---|
| 13. | On-going records of medical/dental/eye/hearing care. | ✓ | |
| F. | Records are kept in a locked file. | ✓ | |
| G. | The interstate compact administrator has been contacted before acceptance of an out-of-state child. | ✓ | |

Comments:
Records reviewed for youth in care contained documentation to verify compliance with the above requirements, except a majority of treatment plans reviewed during the on-site license review were not completed within 14 days after admission. See Corrective Action Plan.

11. Medications - 67:42:07:19; 67:42:07:20; 67:42:07:22; 67:42:07:23; 67:42:15:19

| | | YES | NO |
|---|---|---|---|
| A. | The facility has written procedures relating to the storage and administration of medication that include: | | |
| 1. | Responsibility of licensed nurse for administration with delegation only within requirements of ARSD 20:48:04.01. | ✓ | |
| 2. | Documentation. | ✓ | |
| 3. | Immediately notifying the facility's nurse in cases of medication errors or drug reactions. The nurse assesses the situation and determines whether there is a need to report the incident to the attending physician. | ✓ | |
| 4. | Evaluating and recording children's reactions to medication. | ✓ | |
| B. | Psychotropic drugs are prescribed by a psychiatrist with monthly medication management services. | ✓ | |
| C. | Medicine is kept in a locked cabinet. | ✓ | |
| D. | A medication record is kept on each child. | ✓ | |

Comments:

Aurora Plains Academy has written procedures for Medication Control and Administration that relate to the above requirements.

12. Emergency Safety Interventions (ESI) – 67:42:15:18, 67:42:07:24; 67:42:07:25; 67:42:07:26

| | | YES | NO |
|---|---|---|---|
| A. | The facility has a written procedure relating to the use of ESI that allows for use only to ensure safety of the child or others and by order of a physician or other licensed practitioner. | ✓ | |
| B. | Use of ESI is incorporated into the treatment plan. | ✓ | |
| C. | Placement agency/parent/guardian are informed of policies, give written approval for use of ESI at the time of admission and are notified of use of ESI as soon as possible. | ✓ | |
| D. | Only qualified staff give and receive orders and monitor and provide assessments following ESI. | ✓ | |
| E. | Trained clinical staff continually monitors children while involved in ESI. | ✓ | |
| F. | ESI's do not exceed times allowed in orders. | ✓ | |

| | | | |
|---|---|---|---|
| G. | Required reports are completed following ESI. | ✓ | |
| H. | Staff involved in an ESI meet with the child involved to discuss the ESI and with administrative staff within 24 hours after use of the ESI. | ✓ | |
| I. | Medical treatment is provided for a resident injured during an ESI. | ✓ | |
| J. | Seclusion rooms meet the physical specifications of 67:42:07:25. | N/A | |

Comments:
Aurora Plains Academy written procedures for use of Emergency Safety Interventions (ESI) appear to meet the requirements of licensing rules. Incidents of use of ESI reviewed contained documentation was found in each to verify compliance with the above requirements. Staff and residents interviewed indicated the facility utilizes Emergency Safety Interventions in an appropriate manner and as a last resort to prevent a resident from harming themselves or others.

| 13. Volunteers - 67:42:07:14 | | YES | NO |
|---|---|---|---|
| A. | Have a written job description with specific responsibilities. | N/A | |
| B. | Supervised and evaluated by an experienced staff member. | N/A | |
| C. | Three documented references. | N/A | |
| D. | Documented orientation. | N/A | |
| E. | Documented in-service training as per 67:42:07:04 if volunteer works thirty plus hours per week. | N/A | |
| F. | Informed of obligation to report suspected CA/N. | N/A | |
| G | Verification of screening for substantiated reports of child abuse or neglect. | N/A | |
| H. | Verification of submission of fingerprints to the DCI. | N/A | |
| I. | Verification of sex offender registry checks. | N/A | |

Comments:

Aurora Plains Academy did not use volunteers in their program during the past year.

| 14. Physical Facility - 67:42:07:11; 67:42:07:12 | | YES | NO |
|---|---|---|---|
| A. | There is a current fire inspection. | 12/6/23 | |
| B. | There is a current health inspection. | 12/6/23 | |
| C. | A fire escape plan is posted. | ✓ | |
| D. | A minimum of four fire drills are held annually. | ✓ | |
| E. | Children of opposite gender over the age of six have separate sleeping facilities. | ✓ | |
| F. | Sleeping children are monitored. | ✓ | |
| G. | Each child has their own bed with linens, blankets and pillows. | ✓ | |

Comments:

A copy of the current fire/health inspection report is on file in the licensing report. Issues identified were corrected.

15. Nutrition - 67:42:07:13

| | YES | NO |
|---|---|---|
| A. Meals are of sufficient quantity to meet children's nutritional needs. | ✓ | |
| B. Arrangements are made for children with a special prescribed diet. | ✓ | |

Comments:

Interviews with staff and youth supported the meals being of sufficient quality and quantity.

16. Recommendations

Aurora Plains Academy is found to be in substantial compliance with licensing rules for Intensive Residential Treatment Centers. See comments related to Personnel Records and Treatment.

It is recommended that a satisfactory license be issued to Aurora Plains Academy to operate as an intensive Residential Treatment Center located at 1401 E. 10th Street, Plankinton, South Dakota to provide care for a maximum of forty-two residents ages ten to seventeen.

Completed By: Kevin Kanta

Kevin Kanta, Program Specialist Date: 1/11/24

Date of On-Site Visit: 1/7/24

Program Manager: Muriel Nelson