

**South Dakota Department of Social Services  
CERTIFICATE OF LICENSE**

**as a  
CHILD WELFARE AGENCY**

This is to certify that Abbott House is hereby granted this license to conduct and maintain a Residential Treatment Program located at 909 Court Merrill in Mitchell SD 57301 to provide care for a maximum of 42 female youth ages 7 to 17 years, for the period from June 1, 2020 to May 31, 2021.

This facility satisfactorily complies with requirements of the South Dakota Compiled Laws of 1967, Sections 26-6-1 through 26-6-27 and the Child Care Standards as established by the South Dakota Department of Social Services. This license is subject to revocation for reasonable cause as cited in SDCL 1967; Section 26-6-23.  
Issued this 8th day of July 2020.



License Number R 56

*Kirgema Wiselob*  
CPS Division Director

Department of Social Services  
Child Protection Services  
700 Governors Drive  
Pierre, S.D. 57501-2291  
605-773-3227

**LICENSING RENEWAL STUDY  
RESIDENTIAL TREATMENT CENTERS  
ARSD 67:42:01, 67:42:08**

AGENCY NAME: Abbott House (R56)

DIRECTOR: Eric Klooz

1. Licensing Requirements – 67:42:07:11.01, 67:42:08:01.01, SDCL 26-6-11, 42 CFR 441 Subpart D

	<u>YES</u>	<u>NO</u>
A. The following have been submitted to the Department:		
1. Application materials for license.	✓	_____
2. Documentation of need as per SDCL 26-6-11.	NA	_____
3. A copy of the building plans (approved by the Fire Marshal and Department of Health).	✓	_____
4. Documentation to verify the agency/facility is currently accredited by CARF, COA or Joint Commission or making progress in pursuit of accreditation.	✓	_____
5. The facility has completed an annual attestation statement and/or been surveyed by DOH to verify they meet the requirements as a Psychiatric Residential Treatment Facility.	✓	_____
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 June 2, 2020 is on file in the licensing record. It contains a signed statement of compliance with the Civil Rights Act of 1964, which is also a part of the agency agreement with the Department of Social Services. A copy of the current certificate of accreditation from the Council on Accreditation attesting that Abbott House is accredited in the area of Residential Treatment Services through August 31, 2023 is on file in the licensing record. A copy of an Attestation Statement stating the facility complies with all of the requirements set out in 42 CFR 483 Subpart G and 42 CFR 431.610. which is signed by the Executive Director Eric Klooz and dated May 26, 2020 was included in the application materials and can be found in the licensing record.

2. Agency Responsibilities – SDCL 26-6-11

	<u>YES</u>	<u>NO</u>
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. Financial reports submitted with the application for license renewal indicate the availability of sufficient funds to provide for the needs of the program.



- |   |            |                |
|---|------------|----------------|
| 3. <u>Insurance</u> - 67:42:01:35   | <u>YES</u> | <u>NO</u>      |
| A. Vehicles used to transport clients have appropriate passenger liability insurance. | ✓<br>_____ | _____<br>_____ |
| B. The agency carries public liability insurance.                                     | ✓<br>_____ | _____<br>_____ |

Comments:

Abbott House submitted verification documentation of auto liability insurance coverage (#47SPK14949604) commercial general liability (#47RWS14949504) and umbrella liability (#47SUM14949704) through July 1, 2020, with their application materials and the documentation can be found in the licensing record. Staff who use their own vehicles to transport clients have proof of up to date auto insurance in their personnel file.

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|--|------------|----------------|
| 4. <u>Accounting Systems</u> - 67:42:01:34                           | <u>YES</u> | <u>NO</u>      |
| A. An audit of the accounts has been done in the last year by a CPA. | ✓<br>_____ | _____<br>_____ |

Comments:

An audit of Abbott House's financial reports for the period ending June 30, 2019, and 2018 was completed by ELO Professional L.L.C, on September 27, 2019. A copy of the audit report, including a summary of significant accounting policies is on file in the licensing record.

- |   |            |                |
|---|------------|----------------|
| 5. <u>Staff Qualifications</u> - 67:42:08:02, 67:42:07:07   | <u>YES</u> | <u>NO</u>      |
| A. Program Director   |            |                |
| 1. Masters Degree in an accredited behavioral or social science area plus two years relevant alternative child care experience; or                      | ✓<br>_____ | _____<br>_____ |
| 2. Bachelor of Arts/Bachelor of Science in an accredited behavioral or social science area plus four year's relevant alternative child care experience. | ✓<br>_____ | _____<br>_____ |

Comments:

Eric Klooz, BS SW/MS Human Services, is the Executive Director for Abbott House. He has over twenty years' experience working in residential programs, serving in his current position since April 2005.

Lana Andersen, BA Elementary Education, has been employed by Abbott House since September 1978 and had been the Program Director for numerous years. Lana is now serving as the Head of Intake/Market Coordinator/Consultant for the Abbott House.

Deborah Sturdevant has been appointed as the Program Director. Deborah has been employed with the Abbott House since 2009 in various roles and has a master's degree in Education.

B. Other Staff

	<u>YES</u>	<u>NO</u>
1. At least eighteen years of age.	✓ _____	_____ _____
2. If under age twenty-one, is under direct supervision of an experienced child care staff; and 3 years older than any children supervised.	✓ _____	_____ _____

Comments:

A list of staff, including their qualifications, employed at the time of application for license renewal was submitted with the application and is on file in the licensing record. All staff for whom personnel records were reviewed were over the age of twenty-one.

	<u>YES</u>	<u>NO</u>
6. <u>Staff/Child Ratio</u> - 67:42:08:03		
A. 1:6 during waking hours.	✓ _____	_____ _____
B. 1:12 in the building during sleeping hours.	✓ _____	_____ _____
C. One staff member present in each separate sleeping unit during sleeping hours.	✓ _____	_____ _____
D. Arrangements made for substitute staff during vacations, illness, or off-duty time of regular staff.	✓ _____	_____ _____
E. Certified special ed teachers are employed (when appropriate).	✓ _____	_____ _____
F. Provisions are made for auxiliary staff members, i.e., mental health professionals, physical therapist, and/or occupational therapist (when appropriate).	✓ _____	_____ _____
G. A minimum of two adults are on the grounds at all times when children are present.	✓ _____	_____ _____
H. 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:

Abbott House is licensed to provide care for a maximum of forty-two female residents. The staff schedule submitted with the application for license renewal indicates the agency is within staff to child ratio at all times for the adjusted maximum capacity. Staff interviewed verified staff schedules are adhered to by the facility and that the facility makes supervision of the residents a high priority.

7. Personnel Records – 67:42:07:04.01, 67:42:07:07, 67:42:07:08, 67:42:07:09;  
SDCL 26-6-14.11

A. Personnel records are maintained and contain the following:	<u>YES</u>	<u>NO</u>
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.	✓ _____	_____ _____
6. Verification of submission of fingerprints to the DCI.	✓ _____	_____ _____
7. Verification of sex offender registry checks.	✓ _____	_____ _____
8. Verification of current certification in basic 1 <sup>st</sup> Aid and CPR.	✓ _____	_____ _____
9. At least one official onsite designated to authorize the Reasonable and Prudent parent Standard.	✓ _____	_____ _____

Comments:

Twelve personnel records were reviewed for staff currently employed by the agency who have regular contact with residents. Each record reviewed contained documentation to verify compliance with the above requirements.

8. <u>In-service Training</u> – 67:42:07:04, 67:42:08:04, 42 CFR 483.376	<u>YES</u>	<u>NO</u>
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 during their first month of employment that includes the facility's functions, services, community resources and specific job functions.	✓ _____	_____ _____
C. Each employee has a documented record of a minimum of forty 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 67:42:07:04.	✓ _____	_____ _____
E. Training for all employees after the first year of employment is determined by an annual evaluation and is competency based.	✓ _____	_____ _____

Comments:

Abbott House has an orientation checklist that is used as an orientation plan and to document



completion of the orientation by new staff. Each record reviewed for a staff member employed during the past year contained documentation to verify they completed the agency orientation during their first month of employment and documentation was found showing the orientation meets requirements of ARSD 67:42:07:04.

Abbott House uses Relias Learning, an internet-based staff training and development program for annual staff trainings. Personnel records reviewed for staff employed for more than one year contained documentation of at least 40 hours of in-service training during the past year.

9. <u>Reporting Suspected Child Abuse or Neglect, Changes in Circumstances and Serious Occurrences</u> - 67:42:01:12, 67:42:07:15, 67:42:07:16, 42 CFR 483.374	<u>YES</u>	<u>NO</u>
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.	✓	_____
D. The facility has written procedures for reporting serious occurrences to CPS and SD Advocacy Services and to the parent or legal guardian within 24 hours after the serious occurrence.	✓	_____
1. The death of a resident is reported to CMS by the close of business the day after the death.	NA	_____
2. A copy of the report of a serious occurrence is retained in the resident's record.	✓	_____

Comments:

Abbott House written procedures for reporting suspected incidents of child abuse or neglect, changes in circumstances and serious occurrences relate to the above requirements. Each personnel record reviewed included a signed statement defining child abuse and neglect and outlining agency reporting procedures for reporting suspected incidents of child abuse and neglect.

10. <u>Treatment</u> - 67:42:01:01(7), 67:42:07:04.01, 67:42:08:01, 67:42:08:01.01, 67:42:08:05, 67:42:08:07, 67:42:07:10, 67:42:01:21, 42 CRF 441 Subpart D	<u>YES</u>	<u>NO</u>
A. There are written procedures relating to:		
1. Intake.	✓	_____
2. Treatment.	✓	_____
3. Discharge.	✓	_____

- |  |   |  |
|--|---|--|
| 4. Discipline.   | ✓ |  |
| 5. Confidentiality.  | ✓ |  |
| 6. Health care of children.  | ✓ |  |
| 7. Emergency procedures in case a child is injured.  | ✓ |  |
| 8. 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. | ✓ |  |
| 9. Reasonable and prudent parent standard  | ✓ |  |

Comments:

Abbott House has written procedures relating to the above required areas that appear to be in compliance with licensing rules.

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

Comments:

Abbott House residents attend the on-grounds Abbott House School and are mainstreamed into the public schools when appropriate. The Mitchell School District assumes responsibility for the educational program and is under contract with the District to operate the school.

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|---|---|--|
| C. Case records are maintained and include the following:   |   |  |
| 1. Face sheet/application form with identifying information.  | ✓ |  |
| 2. Documentation to verify the child meets PRTF eligibility.  | ✓ |  |
| 3. Treatment plans developed and signed by the treatment team that includes the child, parent or guardian if appropriate, facility staff working with the child, placing agency staff and those required by 42 CFR 441.156.   | ✓ |  |
| 4. Treatment plans are established within fourteen days of placement.   | ✓ |  |
| 5. Treatment plans are based on assessment of the child's medical, psychological, social, behavioral and developmental needs and strengths, projected length of stay, conditions for discharge with discharge plans to ensure continuity of care and reflect the need for care at the PRTF level. | ✓ |  |
| 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 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. Treatment plan is updated every three months to include progress toward achieving goals and amendments to the plan and sent to the placement agency (meets requirement for progress report).	✓	
10. Evidence of application of the Reasonable and Prudent Parent Standard.	✓	
11. Physical exam (twelve months prior to or thirty days following admission).		
12. Current immunization record.	✓	
13. A signed authorization for medical care at the time of placement.	✓	
14. On-going records of medical/dental/eye/hearing care.	✓	
D. Records are kept in a locked file.	✓	
E. The interstate compact administrator has been contacted before acceptance of an out-of-state child.	NA	

Comments:

Ten records were reviewed for youth in care and documentation was found in each to verify compliance with the above requirements.

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

A. The facility has written procedures relating to the storage and administration of medication which include:	<u>YES</u>	<u>NO</u>
1. Conditions under which medications may be given.	✓	
2. Procedures for documenting the administration of medication.	✓	



- |  |   |       |
|--|---|-------|
| 3. Procedures for 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. Procedures for evaluating and recording each child's reactions to prescribed medication.  | ✓ | _____ |
| B. A licensed nurse is responsible for administration of medications.  | ✓ | _____ |
| C. Psychotropic drugs are prescribed by a MD, CNP or PA with ongoing quarterly follow-up.  | ✓ | _____ |
| D. Medicine is kept in a locked cabinet.   | ✓ | _____ |
| E. A medication record is kept on each child.  | ✓ | _____ |

Comments:

Abbott House written procedures for storage and administration of medications are in compliance with licensing rules. Nine out of Ten records reviewed were for a youth prescribed a psychotropic medication. Documentation was found in each record to verify a written report at least every 90 days detailing the reasons the psychotropic medication is being continued, discontinued, or changed, as well as any recommended changes in the treatment goals and plan.

- |   | <u>YES</u> | <u>NO</u> |
|---|------------|-----------|
| 12. <u>Emergency Safety Interventions (ESI)</u> - 67:42:07:24, 67:42:07:25, 67:42:07:26, 67:42:08:05, 42 CFR 483 Subpart G  |            |           |
| A. The facility has a written procedure relating to the use of ESI's 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's is incorporated into the treatment plan.  | ✓          | _____     |
| C. Placement agency/parent/guardian are informed of policies, give written approval for use of ESI's at the time of admission and are notified of use of ESI's as soon as possible.               | ✓          | _____     |
| D. Only qualified staff give and receive orders and monitor and provide assessments following ESI's.  | ✓          | _____     |
| E. Trained clinical staff continually monitors children while involved in ESI's.  | ✓          | _____     |
| F. ESI's do not exceed times allowed in orders.   | ✓          | _____     |
| G. Required reports are completed following ESI's.  | ✓          | _____     |
| H. Staff involved in an ESI meets 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.  | NA         | _____     |
| J. Seclusion rooms meet the physical specifications of 67:42:07:25.   | ✓          | _____     |

Comments:

Abbott House written procedures for use of emergency safety interventions appear to be in compliance with licensing rules. Four incidents of use of an emergency safety intervention involving youth, were reviewed and documentation was found in each to verify compliance with the above requirements.

13. <u>Volunteers</u> - 67:42:07:14	<u>YES</u>	<u>NO</u>
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 unrelated 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:

No volunteer records were reviewed.

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

Comments:

The fire/health was not completed at the time of the on-site visit. Please submit a copy when complete.

YES

NO

15. Nutrition - 67:42:07:13

A. Meals are of sufficient quantity to meet children's nutritional needs.

✓

B. Arrangements are made for children with a special prescribed diet.

✓

Comments:

The facility utilizes a rotating menu for meals. Staff and residents interviewed described the meals to be of sufficient quality and quantity.

16. Recommendations

Abbott House is found to be in substantial compliance with licensing rules for Residential Treatment Centers. It is recommended that a satisfactory license be issued to Abbott House, Inc. to operate a Residential Treatment Center at 909 Court Merrill, Mitchell, SD to provide care for a maximum of forty-two female youth age seven to seventeen years.

Completed By: Kevin Kanta 7/20/20  
Kevin Kanta, Program Specialist Date

Date of On-Site Visit: 7/1/20