

South Dakota Department of Social Services
CERTIFICATE OF LICENSE

as a
CHILD WELFARE AGENCY

This is to certify that Sequel Youth Services of South Dakota—Falls Academy is hereby granted this license to conduct and maintain a Group Care Center for Minors located at 45650 264th St in Sioux Falls, SD 57107

For 30 male children ages 13 to 20 years,
for the period from June 1, 2019 to May 31, 2020.

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 1st day of June 2019.



License Number R 26561

Virginia Wieseler
CPS Division Director

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

**INVESTIGATION REPORT AND LICENSING STUDY
GROUP CARE CENTERS FOR MINORS
ARSD 67:42:01, 67:42:07**

AGENCY NAME: Sequel Youth Services Transition Academy R20482 and Falls Academy R26561

DIRECTOR: Jon St. Pierre, Executive Director

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

A. The following have been submitted to the Department:	<u>YES</u>	<u>NO</u>
1. Application materials for license.	<u>✓</u>	<u> </u>
2. Documentation of need.	<u>NA</u>	<u> </u>
3. A copy of the building plans (approved by the Fire Marshal and Department of Health).	<u>NA</u>	<u> </u>
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.	<u>✓</u>	<u> </u>

Comments:

An application for license renewal dated May 3, 2019 is on file in the licensing record. It contains a signed statement of compliance with the Civil Rights Act of 1964.

Sequel operates two Group Care programs at the same location. The agencies share administration staff. The primary difference between the two programs is the staff ratio. Falls Academy maintains a one to six ratio, rather than the required one to eight ratio.

Transition Academy serves a maximum capacity of thirty-two male youth between the ages of sixteen and seventeen years old. Falls Academy has a capacity of thirty children.

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.	<u>✓</u>	<u> </u>
B. The agency has sufficient funds to meet the needs of the community.	<u>✓</u>	<u> </u>

Comments:

The facility was found to be adequately furnished and maintained to provide for the needs of the residents by the reviewers and a yearly inspection completed by the Department of Health is completed on all areas of campus regularly used by 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. Insurance - 67:42:01:35

	<u>YES</u>	<u>NO</u>
A. Vehicles used to transport clients have appropriate passenger liability insurance.	<u>✓</u>	<u> </u>
B. The agency carries public liability insurance.	<u>✓</u>	<u> </u>

Comments:

A copy of the Certificate of Liability Insurance and Insurance Identification Cards for facility vehicles verifying coverage at the time of the licensing review were submitted with the application for license renewal and are on file in the licensing record. A certificate of coverage for commercial general (policy # HS2016214103), automobile liability (policy # TJAP9D910461), excess umbrella (policy # HS2016214203), sexual misconduct and professional liability insurance (policy # HS2016214103) through July 1, 2019 was provided and can be found in the licensing record.

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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. | ✓ | _____ |

Comments:

Sequel Youth and Family Services, LLC and Subsidiaries Consolidated Financial Statements years ended June 30, 2018 completed by BDO USA, LLP on November 9, 2018 were included in the application materials and is on file in the licensing record.

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| 5. <u>Staff Qualifications</u> - 67:42:07:02, 67:42:07:07 | <u>YES</u> | <u>NO</u> |
| A. Program Director | <u>YES</u> | <u>NO</u> |
| 1. Bachelor's degree in an accredited behavioral or social sciences area, or | ✓ | _____ |
| 2. An equivalent combination of education and experience. | ✓ | _____ |
| 3. At least two years of relevant alternative child care experience. | ✓ | _____ |

Comments:

Jon St. Pierre is the Executive Director for Sequel Transition Academy and Falls Academy. He has over ten years experience working in group care programs, and has served as the Director of programming since the program opened in 2013.

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| 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. All records reviewed were for individuals twenty-one years of age or older, and the reviewers were informed the agency does not employ individuals under the age of twenty-one.

Administrative staff is shared between Sequel Transition Academy and Falls Academy. Jenna Tweedy serves as the Director of Student Services, Nicki Abels serves as the Administrative Services Director, Morgan Beaner is the program director for the Transition Academy and Tony Stovall is the program director for Falls Academy.

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| 6. <u>Staff/Child Ratio</u> - 67:43:07:03 | <u>YES</u> | <u>NO</u> |
| A. 1:8 during waking hours. | ✓ | _____ |

B. 1:25 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 shelter care facility maintains a staff/child ratio of 1:4 for children under the age of four years during waking hours.	NA	
H. 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 Transitional Academy staff schedule submitted indicates at least four staff are scheduled during waking hours when youth are present providing a staff/child ratio of at least 1:8 when at full licensed capacity, and at least two staff are scheduled during sleeping hours, providing a staff/child ratio of 1:16.

The Falls Academy staff schedule submitted indicates a staff/child ratio of at least 1:6 and at least two staff are scheduled during sleeping hours when at full licensed capacity, providing a staff/child ratio of 1:16.

Interviews with staff supported the agency's compliance with staff/child ratios.

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

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 st aid and CPR.	✓	

Comments:

Eight personnel records were reviewed and contained documentation to verify compliance with the above requirements, except one file did not contain references checks and five of the files contained references without a date completed. **Please assure all files have a dated reference check to**

comply with ARSD 67:42:07:09.

8. <u>In-service Training - 67:42:07:04</u>	<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 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 twenty-four 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:

Sequel uses an In-Service/Individual Training Plan checklist that serves as an orientation plan and is used to document completion of the agency orientation. The Plan includes all areas of orientation required to be completed within thirty days of employment as well as some areas required to be completed during the first year of employment.

The facility conducts at least yearly annual performance appraisals on each employee. This performance appraisal is used as the tool to annually assess staff competence in carrying out their job duties. The performance appraisal appears to relate to those areas outlined in the Job Description. The performance appraisal is set up to be effectively used for the annual assessment of competency and has an area designated where goals for the upcoming review period can be identified.

9. <u>Reporting Suspected Child Abuse or Neglect and Changes in Circumstances - 67:42:01:12, 67:42:07:15, 67:42:07:16, 67:42:07:05</u>	<u>YES</u>	<u>NO</u>
A. The facility has written procedures 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.	✓ _____	_____

Comments:

Sequel Transition Academy has written procedures for reporting of suspected incidents of child abuse

and neglect that relate to the above requirements.

10. Treatment – 67:42:01:01(3), 67:42:01:21, 67:42:07:01, 67:42:07:01.01, 67:42:07:01.02, 67:42:07:05, 67:42:07:10, 67:42:07:28, 67:42:07: 29

A. There are written procedures relating to:	<u>YES</u>	<u>NO</u>
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. Reasonable and prudent parent standard	✓ _____	_____

Comments:

Sequel Transition Academy has written procedures relating to the above required areas that are in compliance with licensing rules. Sequel Transition Academy submitted policy on the Reasonable and Prudent Parent Standard to this office prior to January 1, 2017.

B. Children attend a local school.	✓ _____	_____
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Comments:

Sequel Transition Academy has an agreement with the West Central School District to provide educational services for youth in the program. A copy of the current agreement was provided at the time of the initial licensing review and is on file in the licensing record.

C. Case records are maintained and include the following:		
1. Face sheet/application form with identifying information.	✓ _____	_____
*2. Development of the treatment plan must involve the child in care, the facility staff working with the child, the placement agency and if appropriate the parents.	✓ _____	_____
*3. Treatment plans are developed within one month of placement and updated at least every three months.	✓ _____	_____
*4. Treatment plans must contain the child's needs and strengths.	✓ _____	_____
*5. Treatment goals for the child and family, including a description of how family and aftercare services will be provided, and projected times for achieving goals;	✓ _____	_____
*6. A discharge plan that includes the projected length of stay and the conditions under which the child will be discharged.	✓ _____	_____

*7. Monthly progress reports submitted to placement agency.	✓	
*8. Progress reports reflect the treatment plan.	✓	
9. Physical exam (twelve months prior to or thirty days following admission).	✓	
10. Current immunization record.	✓	
11. A signed authorization for medical care.	✓	
12. On-going records of medical/dental/eye/hearing care.	✓	
13. Signed statement verifying the child's parent or guardian was informed of agency written policies.	✓	
14. Evidence of application of the Reasonable and Prudent Parent Standard.	✓	
D. Records are kept in a locked file.	✓	
*E. A shelter care facility that does not provide short term assessment services is exempt from numbers 2, 3, 4, 5, 6, 7 and 8 but submits a summary report to the placement agency upon discharge of the child.	NA	
F. Children do not remain in a shelter care facility longer than thirty days unless an extension of time is needed not to exceed thirty days for the plan to be implemented or needed assessment services completed.	NA	
G. The interstate compact administrator has been contacted before acceptance of an out-of-state child.	NA	
H. A facility that provides alternative services to children in custody of the department has a signed alternative service agreement with the department.	NA	

Comments:

Twelve records were reviewed for youth in care, six from the Transitional Academy and six from the Falls Academy, and each contained documentation 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

	<u>YES</u>	<u>NO</u>
A. The facility has written procedures relating to the storage and administration of medication which include:		
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.	✓	

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| 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:

Sequel Transition Academy written procedures for storage and administration of medications are in compliance with licensing rules. Twelve out of twelve records reviewed contained documentation to verify at least quarterly review by the prescribing practitioner of the continued need for the medication.

- | 12. <u>Seclusion and Restraint</u> - 67:42:07:05, 67:42:07:24, 67:42:07:25, 67:42:07:26, 67:42:07:27 | <u>YES</u> | <u>NO</u> |
|--|------------|-----------|
| A. The facility has written procedures relating to the use of seclusion and restraint. | ✓ | |
| B. Use of seclusion and restraint is included in the treatment plan. | ✓ | |
| C. Placement agency/parental/guardian approval of seclusion and restraint is obtained prior to its use. | ✓ | |
| D. Staff continuously observe and monitor a child who has been placed in a room for the purposes of seclusion. | NA | |
| E. Placement in seclusion or restraint does not exceed two hours if the child is age 9 to 17 or one hour if the child is under the age of 9. | ✓ | |
| F. Placement in seclusion or restraint is documented. | ✓ | |
| G. A room used for seclusion meets the physical specifications of 67:42:07:25. | NA | |

Comments:

Sequel Transition Academy written procedures for use of restraint and seclusion are in compliance with licensing rules. Sequel Transition Academy does not have a room used exclusively for seclusion and their policy and procedures states seclusion may not be used at Sequel Transition Academy. It was noted during staff and resident interviews that Sequel does not utilize restraint very often. It was noted that Sequel uses restraint only as a last resort and that they emphasize relationship building and use of other interventions to avoid the use of restraint.

- | 13. <u>Volunteers</u> - 67:42:07:14 | <u>YES</u> | <u>NO</u> |
|---|------------|-----------|
| A. Have a written job description with specific responsibilities. | ✓ | |
| B. Supervised and evaluated by an experienced staff member. | ✓ | |
| C. Three documented non-related references. | ✓ | |
| D. Documented orientation. | ✓ | |
| 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. | ✓ | |
| G. Verification of screening for substantiated reports of child abuse or neglect. | ✓ | |

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| H. Verification of submission of fingerprints to the DCI. | N/A | |
| I. Verification of sex offender registry checks. | ✓ | |

Comments:

Sequel Transition Academy has written procedures for use of volunteers that relate to the above requirements. It is the recommendation of the reviewers that the agency document hours a volunteer is at the agency and keep this documentation in the volunteer record to document that they are volunteering less than thirty hours per week and do not require annual training.

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| 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. | 05/28/19 | |
| B. There is a current health inspection. | 05/28/19 | |
| C. A fire escape plan is posted. | ✓ | |
| D. A minimum of four fire drills held annually. | ✓ | |
| E. Children of opposite gender over the age of six have separate sleeping facilities. | NA | |
| F. Sleeping children are monitored. | ✓ | |
| G. Each child has their own bed with linens, blankets and pillows. | ✓ | |

Comments:

A copy of the fire/health inspection report, along with a copy of the report Compliance Plan with notation of deficiencies on the plan is on file in the licensing record. As noted on the inspection report, fire escape plans are posted in the facility. Fire drills are documented on the inspection report.

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| 15. <u>Nutrition</u> - 67:42:07:13 | <u>YES</u> | <u>NO</u> |
| A. Meals are of sufficient quantity to meet children's nutritional needs. | ✓ | |
| B. Arrangements are made for children with a special prescribed diet. | ✓ | |

Comments:

Interview with staff and residents supported the meals to be of adequate quality and quantity.

16. Recommendations:

Sequel Transition Academy is found to be in substantial compliance with licensing rules for Group Care Centers for Minors. Please refer to the body of this licensing study for comments and recommendations relating to personnel records.

Completed By: Kevin Kanta 6/6/19
Kevin Kanta, Program Specialist Date

Date of On-Site Visit: 5/21-22/19