

# Corrective Action Plan

**Facility:** Aurora Plains Academy (APA)

**Reviewer:** Kevin Kanta-Program Specialist, December 17, 2020

## **Licensing Rule:**

67:42:09:11. Staff personnel records. A facility must maintain a personnel record on each employee and volunteer. The record must include the employee's or volunteer's application showing qualifications and experience, a job description, annual performance appraisals together with the employee's or volunteer's comments on the appraisal, a record of orientation and in-service training, documentation of the provider's contact with references, documentation of screening for substantiated reports of child abuse and neglect, and documentation that a criminal record check was completed.

The facility must make its personnel records available to the department for verification of the contents.

Source: 7 SDR 66, 7 SDR 89, effective July 1, 1981; 12 SDR 187, effective May 29, 1986; 20 SDR 223, effective July 7, 1994.

General Authority: SDCL 26-6-16.

Law Implemented: SDCL 26-6-16.

Cross-Reference: Screening for substantiated reports of abuse and neglect, § 67:42:01:05.02.

## **Issue Identified:**

Four out of six personnel records reviewed during the licensing review conducted on December 15, 2020 did not contain an annual performance evaluation. Human resource staff shared performance evaluations have not been done for approximately fifty percent of staff employed more than a year. APA must develop and implement a plan to complete overdue performance evaluations required by ARSD 67:42:09:11.

**Date follow up needed:** 10 Days

**Time required to complete:** 30 Days

**Corrective Action Plan (Attach documents if needed):**

The current evaluation is two parts. A Self-Assessment completed by the subordinate employee and a Development Plan completed by the supervisor of the staff. Many times, the supervisor was waiting on the employee to complete the self-assessment first. Supervisors did not complete the development plan until the self-assessment was completed. We have now instructed all personnel completing evaluations to request the completion of the self-assessment several times during the month prior to it being due. If the employee does not complete the self-assessment, the supervisor will complete the development plan and request for a time to go over it with the employee. All documentation of attempts will be forwarded to the Human Resources Department to be placed in the file.

Any person behind on completing the supervisory part of the evaluation may be subject to progressive discipline.

With the recent personnel changes that have taken place over the last year at APA, the responsibility of tracking evaluations was not emphasized to the current Human Resources personnel. A tracking spread sheet has been developed. The complete spread sheet will be sent out monthly to the directors for review.

On December 14<sup>th</sup>, we where at 26% of total evaluations due completed.  
On December 31<sup>st</sup>, we are at 51% of total evaluation due completed.  
The Goal is to be at 90% by Jan 15<sup>th</sup>, 2021 and then remain there. Any evaluations not completed will need to have a reason they are not completed listed on the spreadsheet that is sent for the directors to review.

Please find the attached current spreadsheet.

**Date Submitted:** 12/31/2020

**Date sent to Agency:** 12/17/20

**Date submitted by agency:** 12/31/20

**Date Corrective Action Plan Successfully Implemented:** 01/15/21