

POLICIES AND PROCEDURE MANUAL

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| Chapter: | Human Resources | | |
| Title: | Performance Evaluation Procedure | | |
| Policy: <input type="checkbox"/> Procedure: <input checked="" type="checkbox"/> Page: 1 of 6 | Review Cycle: Biennially Author: Deputy Director | Adopted Date: 10.2015 Review Date: 10.01.2024 | Related Policies: Performance Evaluation Personnel Manual Record Retention |

Purpose

To define the process and consistent application of the Mid-State Health Network (MSHN) performance evaluation system.

Procedure

Performance evaluations provide both supervisors and employees the opportunity to discuss job tasks, identify developmental needs, encourage and recognize strengths, and to discuss positive and purposeful approaches to meeting goals. In summary, the objectives of the performance appraisal are to:

- Provide feedback related to employee performance
- Determine if training is needed
- Identify areas where improvement may be needed
- Revise or update individual goals and report on previous goals
- Evaluate and understand job performance in terms of meeting goals and job responsibilities
- Explore the relationship between the employee and the supervisor and establish goals for improved performance

All full and part time employees will receive a performance evaluation annually. New employees to the organization (or if an employee is transferred or promoted) will be given a performance evaluation within 90 days after hire (or of the effective date of the transfer or promotion).

SUPERVISORY RESPONSIBILITY

It is the responsibility of supervision to ensure that the performance of each employee is reviewed and recorded in accordance with the prescribed procedure, a minimum of one time per year.

During the annual evaluation process, supervisors shall review and update the Remote Working Agreement and the Job Description. If changes are recommended to the job description, supervisors shall send the revised job description to the Deputy Director for review and approval prior to meeting with the employee. Once approved, the supervisor and the employee shall sign the updated version.

RESPONSIBILITIES OF THE DEPUTY DIRECTOR

The Deputy Director will provide a systematic procedure to ensure that a viable performance evaluation program is ongoing and is operating as intended.

The Deputy Director will monitor the performance appraisal procedure to ensure as much consistency as possible in application among agency supervisors and throughout MSHN operations. As needed, feedback on ratings in the appraisal will be given to the supervisor to ensure consistent understanding of the evaluation.

The original copy of all completed evaluation forms will be submitted to the Deputy Director for review, compliance and filing purposes within five (5) working days from the date of the completed review.

PERFORMANCE REVIEW FREQUENCY AND REPORTING

Annual Review: The supervisor will meet with and formally review the performance of each regular employee in coordination with, and prior to, the employee's anniversary date, annually.

Introductory Review: A performance evaluation report will be completed for all new employees by the supervisor at the conclusion of the ninety-day introductory period (within 90 days). Performance evaluation reports completed at the conclusion of the introductory period for staff are to be indicated by checking the introductory block on the front page of the performance review.

Self-Evaluation: Employees will complete a self-evaluation prior to the employee's anniversary date and the supervisor's formal review, annually. Employees must check the self-evaluation box on the front page of the performance review.

Special Reviews: "Special" reviews may occur at the discretion of the supervisor to consider and address outstanding or unsatisfactory performance. Special reviews are to be indicated by checking the box designated as Special Evaluation.

Closing Review: Employees that transfer to another department within MSHN will receive a close out evaluation from their departing supervisor if the time period from the last evaluation is greater than six months. If the time period is less than six months, the last evaluation will be updated, and the ending period revised to the date of transfer.

PREPARATION AND DISPOSITION OF THE EMPLOYEE EVALUATION REPORT

All employee evaluations will be prepared by the employee's immediate supervisor (with the exception of the self-evaluation) to ensure an accurate evaluation of the employee. However, MSHN encourages a 360-degree feedback process that incorporates feedback from contractors, councils/committees, staff employees, or any individual that the employee works directly with on a consistent basis. The evaluator shall use discretion when seeking external feedback and should be limited to related job functions.

Supervisors have an additional evaluation process to incorporate a formal 360 evaluation review in accordance with the attached Leader 360 Performance Evaluation Process. The 360 evaluation process shall include an annual distribution to direct reports and every-three years include a distribution to peers and stakeholders.

Each evaluation will be submitted to and reviewed by the evaluator's immediate supervisor prior to any discussion with the affected employee. Differences of opinion on the employee's evaluation should be discussed and resolved if possible, with the employee's and supervisor's feedback noted on one form.

The formal evaluation discussion is not to occur with the affected employee until the evaluator's immediate supervisor has reviewed the completed draft report.

The supervisor and the employee (self-evaluation) must assign an overall numerical performance rating of the performance factors and competencies. Review of performance on prior year goals and the outcomes should also be included in the review report. In addition, they shall complete the Training/Development section along with identification of goals for the upcoming year.

Following all reviews and signatures, the completed evaluation form will become a permanent part of the employee's personnel file.

GUIDELINES FOR PREPARING FOR THE PERFORMANCE EVALUATION REVIEW

1. All sections in the evaluation have a specific employee developmental purpose and must be completed in detail. Any rating that is above or below “meets requirements” must be supported by an objective statement detailing the evidence that supports the rating.
2. Establish a date that is acceptable to the employee and that will permit adequate and uninterrupted time for discussion.
3. Inform the employee well in advance and have the employee complete and return the self-evaluation prior to the supervisor review for consideration and input into evaluation areas.
4. Provide careful objective thought on the individual’s performance for the period being evaluated-- NOT previous performance, future predictions, or areas not related to job content.
5. Encourage open and free discussion during the evaluation review to maximize beneficial results, giving special attention to those areas where there is a difference in scoring from the self- when compared to the supervisor score.
6. Employees are required to sign the Performance Appraisal which indicates the employee has received the evaluation results. If an employee disagrees with the information contained in the evaluation, a written response from the employee may be submitted to the Deputy Director, Chief Executive Officer and/or the Professional Employment Organization. A copy of the written response will be provided to the supervisor and filed in the employee’s personnel file.

Performance evaluations shall be retained as part of the employee’s personnel record in accordance with MSHN policies Personnel Record and Record Retention.

Applies to

- All Mid-State Health Network Staff
- Selected MSHN Staff, as follows:
 - MSHN’s Affiliates: Policy Only Policy and Procedure
 - Other: Sub-contract Providers

Definitions

MSHN: Mid-State Health Network

Supervisor: Employee who has direct supervision of another employee (Administrators, Directors, Chiefs, and Deputy)

Other Related Materials

MSHN Employee Self Evaluation - Template

MSHN Employer Evaluation – Template

MSHN Leader 360 Performance Evaluation Process

References/Legal Authority

Change Log:

| Date of Change | Description of Change | Responsible Party |
|-----------------------|------------------------------|--------------------------|
| 10.08.2015 | New Procedure | Deputy Director |
| 07.2017 | Annual Review | Deputy Director |

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| 05.2018 | Annual Review | Deputy Director |
| 05.2019 | Annual Review | Deputy Director |
| 02.2021 | Biennial Review | Deputy Director |
| 02/2023 | Biennial Review | Deputy Director |
| 07.2024 | Review 360 Evaluation Process | Deputy Director |

Mid-State Health Network – Leader 360 Performance Evaluation Process

The following process and timeline should be followed to execute 360 Performance Reviews for supervisors.

Note: The below process will be conducted annually for direct reports and every third-year for peers and stakeholders.

Preparation

8-10 Weeks Prior to Review

- Human Resources (Executive Support Specialist)
 - Send an email notice to each employee’s Supervisor due for a review that includes the template for the evaluation (with 360 summary included – **See attachment A**), remote agreement, job description and training compliance status
 - Instruct supervisor to request a list of survey participants, including peers and community stakeholders, from the employee.
 - Peers definition includes leadership team members, CMHSPs and PIHPs
 - Stakeholders definition includes Boards, MDHHS and Providers
 - Create the individual’s custom survey in Survey Monkey, if one has not been created for a previous review period, using the Leadership 360 Performance Review Template.
- Supervisor
 - Sends out notice to employee to complete the self-evaluation by evaluation period end date and request a list of survey participants, including peers, direct reports, and community stakeholders.

6-8 Weeks Prior to Review

- Human Resources (Executive Support Specialist)
 - Compile list of survey participants (from the supervisor recommended) that includes direct reports (annually), peers, and community stakeholders (triennially). The list should include no less than three participants in each respective category to ensure participant anonymity.
 - Send the survey monkey direct reports template annually and send the additional peers/stakeholders template every three years (to the identified participants).
- Supervisor
 - Review any supervisorial notes from the current review period that should be included in the employee’s performance review

5 Weeks Prior to Review

- Human Resources (Executive Support Specialist)
 - Reviews participation of employee surveys; reaches out to Supervisor with participation rate and requests alternate respondents, if needed.

Analysis

4 Weeks Prior to Review

- Human Resources(Executive Support Specialist)
 - Closes 360 Performance Review Survey(s); Sends survey responses including all comments to the supervisor.
- Supervisor
 - Reviews 360 Feedback from Direct Reports (annually), and Peers/Stakeholders (triennially); comments from the survey should be paraphrased, not verbatim, to protect respondent identity; review employee Self-Evaluation; completes the Supervisor Evaluation on the Employee

Evaluation Form and prepare to discuss performance during the evaluation period as well as Training/Development

- Also include review of Job Description and Remote Agreement
 - If changes are recommended to the Job Description; a tracked changes version should be submitted to the Supervising Chief and Deputy Director for approval prior to review with the employee.
 - Send draft performance review report to Supervising Chief for review prior to discussion with employee
- Employee
 - Send Self-Evaluation directly to Supervisor

Execution

During Review

- Supervisor
 - Review Employee Self Evaluation Feedback
 - Compare and discuss the Supervisor Evaluation, Self-Evaluation, and 360 Feedback. Where there are significant differences in feedback or scoring, discuss in detail and develop a consensus rating/comment if possible.
 - It is recognized that employees may not agree with supervisor ratings. Supervisors should be able to justify their rating and should encourage the employee to note any remaining disagreement in additional comments to be attached to the review documents.
 - Discuss Training and Development Opportunities and set Goals for the upcoming year.
 - Discuss Professional Growth goals
 - Sign the Supervisor and Employee Evaluation Form
 - Sign the Job Description
 - Sign the Remote Agreement
 - Forward all signed documents in pdf to Deputy Director for retention in the employee's Personnel File (Executive Support Specialist)
- Employee
 - Compare and discuss the Supervisor and Self-Evaluation. Where there are significant differences in feedback or scoring, discuss in detail and work to achieve common understanding.
 - It is recognized that employees may not agree with all supervisor comments or ratings. Disagreements that cannot be resolved through discussion may be reduced to writing and attached to the performance review document.
 - Discuss Training and Development Opportunities and set Goals for the upcoming year.
 - Discuss Professional Growth goals
 - Sign the Supervisor and Employee Self-Evaluation Forms and give to supervisor.
 - Sign the Job Description
 - Sign the Remote Agreement

Completion

Following Review

- Human Resources
 - Receive signed Evaluation Form, Job Description and Remote Agreement from Supervisor; (Deputy Director)
 - Retain in employee Personnel File (Executive Support Specialist)

ATTACHMENT A

| LEADERSHIP CHARACTERISTICS – 360 DEGREE FEEDBACK | AVG. RATING |
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| <p>Feedback in this section has come directly from the individuals that you work with on a consistent basis. This group is made up of contractors, councils/committees, and colleagues. Feedback was requested on the five following characteristics, demonstration of which have been identified as indicators of success in leadership roles.</p> | <p>All respondents</p> |
| <p>1. COMMUNICATION – The leader communicates ideas effectively, articulates written messages in a clear and compelling manner, and engages in tactful non-verbal communications.</p> | <p>All surveys</p> |
| <p>Comments:</p> | |
| <p>2. COMMITMENT TO COMMUNITY PARTNERS – The leader is aware of current issues faced by the community, actively leads and supports initiatives to drive change, and promotes awareness and engagement while maintaining positive relationships with community partners.</p> | <p>All surveys</p> |
| <p>Comments:</p> | |
| <p>3. INTERPERSONAL SKILLS – The leader develops and maintains relationships with others, builds rapport and relates to all kinds of people, and adapts and responds to situations appropriately.</p> | <p>All surveys</p> |
| <p>Comments:</p> | |

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| <p>4. STRATEGY EXECUTION AND RESULTS – The leader identifies, prioritizes, and executes activities that fulfill the organization’s strategy or goal. They offer advice and create a plan based on analysis of issues and trends, develop a vision for the future and create a culture in which long-range goals can be achieved. Leader ensures cross-functional team building and resolution focused problem solving to support strategic goals.</p> | <p style="text-align: center;">For direct reports survey only</p> |
| <p>Comments:</p> | |
| <p>5. LEADERSHIP AND TALENT MANAGEMENT– The leader creates opportunities for you to learn and grow through coaching and development initiatives, motivates and supports the professional growth of employees and achieves organizational goals through the efforts and talents of his/her team. The leader champions peoples’ development by establishing stretch performance goals by creating an environment of continuous learning and improvement, inclusion of diverse viewpoints, equity within job responsibilities and engages in building a culture of support, development and accountability.</p> | <p style="text-align: center;">For direct reports survey only</p> |
| <p>Comments:</p> | |