

WHITING FORENSIC HOSPITAL OPERATIONAL PROCEDURE MANUAL

SECTION II:	ORGANIZATION FOCUSED FUNCTIONS
CHAPTER 8:	Management of Human Resources
PROCEDURE 8.22:	Performance Management System
Governing Body Approval:	April 29, 2018
REVISED:	

PURPOSE: To provide Whiting Forensic Hospital (WFH) employees and leaders with a means for assessing individual competence and competence trends as a basis for continuous quality improvement and to meet requirements for performance appraisals in the various collective bargaining contracts.

SCOPE: All WFH staff

PROCEDURE:

A. Continuous Performance Management

1. Each employee has a competency based job description describing her/his job functions and the competencies needed to perform her/his assignments. These job descriptions define the measures or criteria that will be used to appraise each employee's performance.
 - a. These competency based job descriptions should be updated annually and approved by Human Resources, as the job duties change, or as additional competencies are developed.
 - b. It is the responsibility of the Discipline/Department Manager to keep these competency based job descriptions current.
 - c. A copy of each employee's competency based job description is maintained in

his/her personnel file.

2. Supervisors use these competency based job descriptions on an ongoing basis in conversations with employees around performance expectations, competence and mutual goal setting. Performance problems which come to the supervisor's attention are to be managed on an ongoing basis via existing mechanisms such as supervision, referral to Employee Wellness Program (EWP) or technical supervision, education, formal or informal counseling, retraining and/or progressive discipline. Action to address the performance problem should be initiated as soon as the problem is identified (the supervisor is not to wait until the performance appraisal is due to address the concerns).

B. Performance Appraisal Process

1. The competency-based job description is the basis for the employee performance appraisal.

The WFH form titled "Competency-based Performance Appraisal" relates the competency-based job description to the form required by collective bargaining. It groups the various competencies under the categories required by the collective bargaining appraisals to form a rating system based on competence.

2. The Facility Director of Human Resources/designee will forward the appropriate collective bargaining performance appraisal forms to the respective Discipline/Department Director at specified times.

Annual Performance Appraisal:

For staff with a January Annual Increment (AI), forms are distributed in August and must be completed (all signatures obtained) by September 30th. For a staff with a July Annual Increment (AI), forms are to be distributed in February and must be completed by March 31st.

Initial Probationary Period [Working Test Period (WTP) Evaluation]:

Performance appraisals must be completed at the mid-point and one month prior to the end of the WTP. Forms are distributed to the supervisor. Forms are to be completed (all signatures obtained) within two weeks of receipt to allow Human Resources time to review and to take any actions indicated.

Promotional Working Test Period:

Performance appraisals must be completed at the mid-point and one month prior to the end of the WTP. Forms are distributed to the professional supervisor. Forms are to be completed (all signatures obtained) within two weeks of receipt to allow Human Resources time to review and to take any actions indicated.

1. The Education Coordinator will provide the educational transcripts to the respective Department Directors in August.
2. The Discipline/Department Director ensures that staff responsible for ratings receive the appraisal forms and educational transcript and complete the rating in a timely manner based on the above guidelines.
3. Completing the performance appraisal involves review of the education transcript along with a variety of assessment methods including, but not limited to, direct observation, review of documentation, skill demonstration, and Performance Improvement measurements. Results of the assessment are recorded on the competency-based performance appraisal and the appropriate official State of Connecticut form. The educational goals for the new rating period are documented on the individual education plan.
4. The matrix design and model of supervision established by the hospital are used for evaluating performance.

I. Discipline (Clinical) staff members:

Each employee's job performance is viewed in multiple dimensions. The two primary aspects of each employee's job are:

- A. the quality and quantity of the discipline-related work; and
- B. his/her role in fulfilling the mission of the unit (provision of treatment hours, adherence to treatment plans, attendance, fidelity to the program model, communication, collaboration with co-workers, involvement in team meetings).

“Raters” *

Clinical unit-based employees are rated by their discipline supervisor. Additionally, as applicable, administrative supervisors with information relevant to the employee’s job performance are responsible for forwarding such feedback to the discipline supervisor for consideration/inclusion in the rating of the employee. The discipline supervisor who rated the employee signs the performance appraisal as “rater.”

“Reviewer” and “Approver” *

The “reviewer” of the employee’s performance appraisal should be the next level up from the “rater” in the discipline hierarchy. Likewise, the “approver” should be the next level up from the reviewer in the discipline hierarchy, if such a position exists. If no such position exists, then the “reviewer” also signs as the “approver.”

II. Supervisory level clinical/discipline staff members:

“Raters” *

For clinical, unit-based, supervisory level employees there may be limited layers above them; however, such individuals, by the nature of their role, function to provide oversight to other employees and have greater leadership responsibility to the mission of the unit. For supervisors whose duties are purely administrative, the only “rater” would be administrative to evaluate the employee’s performance as a supervisor within the mission and functioning of the unit. For supervisors whose duties involve direct patient care, there will be a discipline “rater” (to evaluate discipline-related patient care factors only). Administrative supervisors with information relevant to the employee’s job performance are responsible for forwarding such feedback to the discipline supervisor for consideration/inclusion in the rating of the employee. If no additional discipline layer exists, then the discipline chair will assume the responsibility as the “rater”. To adequately function as the “rater” in this situation, the discipline chair must review the discipline related direct care work of the employee to be rated on at least a quarterly basis.

“Reviewer” and “Approver” *

The “reviewer” would be the next level up from the “rater” in the appropriate hierarchy (clinical or administrative). The “approver” would be the next level up from the “reviewer” also in the same hierarchy. If no such position exists to serve as “approver,” then the “reviewer” also signs as the “approver.”

III. Non-clinical and Department staff members. *

Each employee’s job performance is viewed in multiple dimensions. The two primary aspects of each employee’s job are:

- A. the quality and quantity of the department-related/assigned area work; and
- B. his/her role in fulfilling the mission of the department/hospital (attendance, communication, collaboration with co-workers)

For non-clinical or department employees, the “rater” is the immediate supervisor with input from others as appropriate. For example, a housekeeper who is unit-based may expect to have the input of the Unit Director taken into consideration on his/her performance appraisal. The “reviewer” would be the supervisor/director of the “rater.” The “approver” would be the supervisor/director of the “reviewer” if such a position exists. If no such position exists, then the “reviewer” would also sign as the “approver.”

1. Contracted Staff *

Contracted staff is annually evaluated by the supervisor most responsible for and familiar with his/her work. Forms are to be distributed in February and are to be completed by March 31st.

2. Temporary Worker Retirees (TWRs)

Retired staff who return as 120 day employees (TWRs) are annually evaluated as would non-retired employees (*refer to 6a, b and c above*).

Per diem employees are annually evaluated by the supervisor most responsible for and familiar with his/her work. Forms are distributed in August and are to be completed by September 30th.

3. All performance appraisal forms are to be reviewed by Human Resources prior to presentation to the employee. This step will ensure that the necessary elements are in place to support the rating,
4. The employee's supervisor meets with the employee to review, discuss, and sign the completed performance appraisal forms. A copy of the performance appraisal forms are provided to the employee at the conclusion of their meeting.
5. Once the rating and educational forms are complete, they are forwarded to Human Resources. A copy of the forms must be made for the supervisor's files.
 - a. The performance appraisal information is recorded in a data base, with information on overall rating,
 - b. Data from performance appraisals is used to identify areas for continuous quality improvement and training needs.
 - c. The rating becomes a permanent part of the personnel file.

Note: Contracted individuals which are not state employees, may not conduct nor document on a state employee's performance appraisal. A supervisor who is conducting the rating of an employee can seek feedback from a contracted individual and decide whether to incorporate the information into the appraisal.