



# New York Medical College Policy and Procedure Manual

<b>Section: HUMAN RESOURCES</b>	<b>No.: HR.209</b>
	<b>Date: 12/03/2004</b>
<b>Subject: PERFORMANCE PLANNING &amp; EVALUATION PROGRAM - NON-FACULTY</b>	<b>Page 1 of 8</b>
	<b>Supersedes:10/04/93</b>

## I. Purpose

To establish guidelines for the preparation of an annual performance planning and evaluation of each non-faculty employee.

## II. Scope

This policy applies to all College non-faculty employees regardless of location. It is optional for Union Employees to complete the Performance Planning and Evaluation Form (HR-26) as a self evaluation.

## III. Definition

- A. Performance Review - review of an employee's work performance for a given period of time.
- B. Objectives – work/professional goals that are established for the coming year.
- C. Competencies – behaviors and skills that can be described and verified.
- D. Performance Ratings

### 1. EXCEEDS EXPECTATIONS

Employee performance exceeds the objectives/expectations of the position. Exceptional demonstration of major job responsibilities and competencies were EXCEEDED IN ALL AREAS. Results positively impacted the overall performance of the department.

### 2. MEETS EXPECTATIONS

Employee performance meets the objectives/expectations of the position. Major job responsibilities and competencies were MET IN ALL AREAS. Results contributed to the overall performance of the department.

**Issued By:**

**Approved By:**

**3. NEEDS IMPROVEMENT**

Employee performance does not meet the objectives/expectations of the position and reflects limited demonstration of competencies. Major job responsibilities were only MET IN SOME AREAS. Overall performance is below the standard expected for this position. Employee is on notice that substantial improvement is needed to perform overall job satisfactorily. A Performance Improvement Plan needs to be developed and implemented.

**4. TOO SOON TO RATE**

Employee started less than three months ago. The evaluation will be completed at the end of the probationary period. The Performance Planning and Evaluation Form is prepared by the supervisor in conjunction with the New Employee Status Report (HR-25), when it is decided that the employee is completing probation and will be retained.

- E. CBU - Union employees are covered by this policy and through the Collective Bargaining Agreement.**

**IV. Policy**

It is the policy of New York Medical College to evaluate each employee on an on-going basis and to formalize it on an annual basis through the Performance Planning & Evaluation Program. This performance review will:

- A. Assist the Supervisor or Department Chair/Director in determining the employee's potential for further advancement and development.**
- B. Counsel employees in their strengths and weaknesses and what is expected of them in their position.**
- C. Build and strengthen the supervisor/subordinate relationship by encouraging an on-going dialogue throughout the year regarding performance and meeting objectives.**

**V. Procedure**

The performance review procedure is divided into two sections: **Performance Review Worksheet - New Employee Status Report (HR-25)** and **Performance Planning and Evaluation Report (HR-26)**.

**A. Performance Review Worksheet - New Employee Status Report (HR-25)**

1. For CBU and Non-Exempt employees, the Human Resources Department will forward to the Administrator in the employee's department, a **New Employee Status Report (HR-25)** form one month prior to the employee completing probation: (3) three months of employment for non-exempt employees; (4) four months for 1199 CBU employees; and (6) six months for Security Union Employees.
2. For Exempt employees, the Human Resources Department will forward the **New Employee Status Report (HR-25)** form to the Administrator in the employee's department at least one month prior to the employee completing six (6) months of employment.
3. The immediate Supervisor will complete the **New Employee Status Report (HR-25)** form and discuss the report with his/her immediate superior and then with the employee.
  - a. If the Supervisor concludes (in response to Item E on the form) that he/she is uncertain whether they wish to retain the employee, a request for an extension to the probationary period must be coordinated through Human Resources and with the employee, and a subsequent review date must be indicated.
  - b. If the Supervisor concludes (in response to Item E on the form) that he/she does not wish to retain the employee, the supervisor should contact Human Resources so that termination procedures can be established and implemented.
4. A completed and signed **New Employee Status Report (HR-25)** form will be forwarded to the Human Resources Department for inclusion in the employee's file.
  - a. The departmental Supervisor at the Affiliate shall provide a copy to the respective Affiliation Office for Affiliation Personnel, which will be forwarded to Human Resources.
5. A copy of the completed and signed form will be provided to the employee by the Supervisor.

**B. Performance Planning and Evaluation Report (HR-26)**

1. Timing - this review should be completed on a yearly basis and will be due on the date communicated by Human Resources, either at the beginning of the fiscal year or calendar year.
2. This review applies to all non-faculty employees.
3. The Performance Planning & Evaluation Review is comprised of four (4) sections which will assist the supervisor in evaluating performance:

**Section I: Key Contributions During the Last Year**

In Section I, the employee and supervisor discuss specific contributions and achievements that had a direct impact on the department. Evaluation is based on how well work/professional objectives were achieved.

**Section II - Demonstration of Core Competencies**

This section reflects the key values and behaviors (competencies) that every employee should demonstrate in their work. The evaluation of the core competencies in Section II is "Exceeds Expectations, Meets Expectations or Needs Improvement." (Written comments and specific examples are required in Section VI if either "Exceeds Expectations" or "Needs Improvement" is checked.

- a). **Teamwork**
- b). **Continuous Improvement**
- c). **Quality of Work**
- d). **Communication (Oral & Written)**
- e). **Technical/Functional**
- f). **Initiative**
- g). **Reliability**
- h). **Commitment**

**Section III – Demonstration of Manager/Supervisory  
Competencies**

- i). Leadership**
- j). Staff Development**
- k). Organization Effectiveness**
- l). Management Effectiveness**

#### **Section IV - Objectives for the Next Year**

- a) In the case of non-union employees and for those union employees who choose to prepare the self-evaluation, the employee drafts up to three specific objectives for the upcoming year. Departmental objectives should be shared with the employee to assist them in drafting objectives that are relevant to those of the department. These may relate to special or on-going projects, specific tasks, programs or personal/professional development. Achievements against these objectives should be discussed throughout the year and then evaluated at the end of the year in Section I of the Performance Planning and Evaluation Report.
- b) Timing – after completing the New Hire Status Report (HR-25) and when the decision has been made to retain the employee, Section IV should be completed of the Performance Planning & Evaluation report so that objectives are established by the supervisor and discussed with the employee.

#### **Section V – Overall Rating**

(Refer to definition for rating schedule for employee by supervisor – this section is not completed by the employee when doing self-evaluation).

#### **Section VI – Overall Performance Summary**

Supervisor comments on key contributions and demonstration of competencies that exceeds or are below expectations. Supervisor discusses overall strengths and areas for improvement, which should be communicated on an on-going basis throughout the year, so that there are no surprises for the employee. Discuss deficiencies in

performance as areas needing improvement.

Employee Comments (Optional). If the employee wishes to do so, any comments (including agreement or disagreement) concerning the review may be indicated in this section.

**C. PERFORMANCE IMPROVEMENT PLAN**

If the employee receives an Overall Rating of Needs Improvement, the Supervisor must prepare a draft Performance Improvement Plan and meet with Human Resources to finalize it before meeting with the employee for the Performance Evaluation meeting. The Performance Improvement Plan should be done over a three-month period and should include:

- 1). Deficiencies that need to be identified and corrected.
- 2). The expectations that need to be achieved to eliminate the deficiency.
- 3). Record of bi-weekly meeting and the progress updates toward meeting the expectations.

**D. Approvals**

The **Performance Planning and Evaluation Report (HR-26)** must be signed by the:

- a). Employee
- b). Supervisor
- c). Department Chairperson/Director

All reviews must be forwarded to the Human Resources Department for inclusion in the employee's file. A signed copy should be retained by the employee, supervisor and by the respective Affiliation Office, where applicable, before being forwarded to Human Resources.

**VI. Responsibility**

**A. Employee**

1. Participate in the review process by completing the Performance Planning & Evaluation Form as a self-evaluation and then submitting it to their supervisor for finalization. (This is optional for union employees).
2. Provide input into the establishment of objectives. and engage in dialogue with supervisor during evaluation meeting.
3. In Section VI, add employee comments to the evaluation (optional).
4. Sign the appropriate review form and receive a copy once it is signed by the supervisor and department chairperson/director.

**B. Supervisor/ Administrator**

1. Complete reviews of new hires prior to end of probationary period, New Hire Status Report (HR-25).
2. Conduct annual reviews in a timely manner, Performance Planning & Evaluation Program.
3. Provide feedback and coaching to employees on an on-going basis throughout the year to ensure effective performance and that objectives are met.
4. If Employee Overall Rating is "Needs Improvement" – contact Human Resources to establish a Performance Improvement Plan.
5. Set up the evaluation meeting with the employee and engage in objective and constructive dialogue during evaluation meeting.
6. Sign the appropriate review form(s), along with the employee.
7. Have Department Chairperson/Director sign the form.
8. Provide employee with a copy of appropriate form(s) and forward original to Human Resources and to the appropriate Affiliation Office (if applicable).

C. Human Resources Department

1. Forward **New Employee Status Report (HR-25)** form to Administrators in accordance with the timing set forth in this policy, at least one month prior to the end of the probationary period.
2. Forward Performance Planning & Evaluation Program Report (HR-26) to Administrators in accordance with the timing set forth by the College for annual reviews.
3. Provide advice and guidance with respect to the interpretation and implementation of this policy, especially in regard to performance improvement.
4. Record Employee Overall Rating in Human Resources Management database and maintain Performance Planning & Evaluation Reports in employee human resources files.
5. Maintain on-going record of Performance Improvement Plans and follow-up with department regarding potential progress or lack of progress.