

LAC+USC MEDICAL CENTER POLICY

Subject: PERFORMANCE EVALUATIONS	Original Issue Date: 11/24/75	Policy # 550
	Supersedes: 5/9/17	Effective Date: 10/30/20
Departments Consulted: DHS Human Resources Medical Center Administration Nursing Services Human Resources Committee	Reviewed & Approved by: Attending Staff Association Executive Committee Senior Executive Council	Approved by: (Signature on File) Chief Medical Officer (Signature on File) Chief Executive Officer

PURPOSE

To provide guidelines to ensure performance and competency of each workforce member is assessed, documented, and evaluated.

POLICY

Management shall evaluate the performance and competency of each workforce member based on the standards of efficient performance in accordance with all regulatory requirements and Los Angeles County Civil Service Rules, Memorandum of Understanding (MOU), and Physician Pay Plan requirements. All workforce members shall be evaluated at least once each year and probationary employees shall be evaluated at the end of the probationary period and at the end of the established annual rating period.

Although non-County workforce members are not governed by Civil Service Rules, appropriate evaluation of performance, commensurate to that of County employees must be conducted at 6-months and 12-months from the beginning of their assignment, and annually thereafter, including competency assessment, as applicable.

The immediate supervisors shall communicate, to the workforce member the Department's expectations, the performance standards and expectations for the workforce member's position, and shall provide the necessary leadership and direction needed by their subordinates to meet and maintain the required performance standards. Each workforce member shall be provided with a job description that communicates all of the above elements.

Annual performance evaluations must be completed, fully executed, and on file in DHS Human Resources thirty (30) days after the employee's PE ending date, as noted below. Due dates are established based upon the last digit of the employee number and each performance evaluation shall be submitted to the LAC+USC Medical Center On-site Human Resources as follows:

<u>Last Digit of Employee Number</u>	<u>Rating Period</u>	<u>PE Ending Date</u>	<u>On-site HR Submission Date</u>
<u>0</u>	<u>April 1 – March 31</u>	<u>March 31</u>	<u>April 30</u>
<u>1</u>	<u>May 1 – April 30</u>	<u>April 30</u>	<u>May 30</u>
<u>2</u>	<u>June 1 – May 31</u>	<u>May 31</u>	<u>June 30</u>
<u>3</u>	<u>August 1 – July 31</u>	<u>July 31</u>	<u>August 30</u>
<u>4</u>	<u>September 1 – August 31</u>	<u>August 31</u>	<u>September 30</u>
<u>5</u>	<u>October 1 – September 30</u>	<u>September 30</u>	<u>October 30</u>
<u>6</u>	<u>November 1 – October 31</u>	<u>October 31</u>	<u>November 30</u>
<u>7</u>	<u>December 1 – November 30</u>	<u>November 30</u>	<u>December 30</u>
<u>8</u>	<u>February 1 – January 31</u>	<u>January 31</u>	<u>February 28</u>
<u>9</u>	<u>March 1 – February 28</u>	<u>February 28</u>	<u>March 30</u>

At the time of the annual performance evaluation, the manager/supervisor shall ensure that each employee reviews and acknowledges the selected DHS policies. This annual employee policy review will include, but not be limited to, those policies listed on the Forms HS-1025. Non-County workforce members will acknowledge the Comprehensive Policy Statement and the Conditions of Assignment.

The performance evaluation of all direct patient care providers who do not have clinical privileges will address the population of the patients they serve. Direct patient care providers who are not subject to the credentialing and clinical privileging process (i.e., registered nurses, licensed vocational nurses, respiratory care practitioners, radiologic technologist, etc.) must be evaluated relative to their competency to provide specific treatment, care, and assessment of the patients in their care.

Attending staff (i.e., physicians, podiatrists, dentists, and clinical psychologists) and allied health professionals (nurse practitioners, nurse midwives, nurse anesthetists, and physician's assistants) who are subject to the clinical privileging delineation process shall be evaluated at least bi-annually during their respective credentialing process.

Management employees who are part of the County's Management Appraisal Performance Plan (MAPP) shall be evaluated according to the provisions of the Los Angeles County Code and applicable DHS guidelines.

In accordance with Memoranda of Understanding, annual step advancement for employees is contingent upon a current performance evaluation with a rating of "competent" or better. Physicians subject to the Physician Pay Plan and Management Appraisal and Performance Plan (MAPP) participants must achieve a rating of "met expectations" or better to receive their step/merit increase. If no performance evaluation is on file by the appropriate date, or if an employee received a "needs improvement" or "failed to meet expectations" rating, the employee will not receive a step advance on their step anniversary date or merit increase, as applicable.

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All managers and supervisors are expected to ensure performance evaluations are completed and fully executed on time. Managers and supervisors who fail to adhere to the performance evaluation policy and procedures will be subject to disciplinary action in accordance with DHS Policy 747, Disciplinary Action and the DHS Discipline Manual and Guidelines. MAPP managers/supervisors are subject to monetary penalties for late submissions of MAPP employees.

PROCEDURE

Manager/Supervisor

- Supervisors and/or managers shall be responsible for completing performance evaluations for all persons for whom they sign a timecard.
- Each manager or supervisor is responsible for developing an individual or area-specific job description detailing the assigned functions and the applicable class specification. Each employee shall be evaluated based upon the issued job description.
- Job descriptions will be issued to each employee, modified, and reissued as necessary (i.e., changes in assignment, promotions, demotions, prolonged assignment to a special unit/project, etc.) and shall be reviewed with the employee annually or upon modification.
- Performance evaluations must be submitted in accordance with the defined due dates to the On-site Human Resources Office, as appropriate, with the appropriate signatures and attachments as required by this policy.
- Performance evaluations must reflect, at a minimum, the signatures of rater and department head. If the rater is the department head, the performance evaluation must also be signed by the person to whom the department head reports. Signatures of the rater, reviewer (optional), and department head must be on the evaluation prior to discussing with the employee. If there is a rating other than competent or very good, the signature of the Senior Executive Council member is also required.
- For employees on long-term absence (greater than 365 days), a notation will be made on the front page of the performance evaluation "Unavailable to sign due to extended leave." No further comment is required other than the rater and department head signatures. The performance evaluation is mailed to the employee by DHS Human Resources.
- Supervisors will review the policies in the attachment packet with each workforce member at the time of the employee's performance evaluation.
- The supervisor will validate that the workforce member has a current and valid professional credential(s), if required, and will verify that the workforce member has completed an annual health examination. This information is documented on the Agreement of Understanding form (HS-1025), page two.
- The supervisor submits the original HS-1025 (pages one and two) with the completed performance evaluation to On-site Human Resources, retains a copy of both pages for the

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workforce member's area file, and gives the workforce member a copy of both pages and the packet of policies/signed acknowledgments.

- A workforce member may refuse to sign a performance evaluation. In such case, the rater or reviewer shall indicate such in the workforce member signature block, initial, and have a witness also sign and date.
- Each supervisor or manager shall review the annual and quarterly performance evaluation lists provided by DHS Human Resources to ensure that the names of all persons for whom the supervisor or manager signs a timecard are recorded on the list(s).
 - The name, employee number, and classification of each employee not on the list, but for whom the supervisor signs a timecard, shall be reported as a discrepancy to the DHS Human Resources and the budgeting department. The budgeting department shall be responsible for submitting a cost center form to facilitate the cost center correction process.
 - The corrected, updated lists shall be submitted to DHS Human Resources for reconciliation by the specified due date.

Workforce Member

- The workforce member will review and acknowledge the designated policies each year by signing the HS-1025 (which the supervisor also signs) that accompanies the performance evaluation and policy attachments. Non-County workforce members complete and sign the acknowledgment of the policies in the Comprehensive Policy Statement as well as the Conditions of Assignment.
- The workforce member will provide updated personnel file information for emergency contact, home address, telephone number, and physician choice, if applicable, by completing the Agreement of Understanding form, page two.
- The employee retains the reviewed policies for his or her reference and receives a copy of the HS-1025 form, pages one and two. Non-County workforce members receive a copy of the Comprehensive Policy Statement and signed acknowledgments.

ACCOUNTABILITY

Managers and supervisors who fail to adhere to this performance evaluation policy will be subject to disciplinary action in accordance with the DHS Discipline Manual and Guidelines and DHS Policy 780, Performance Evaluations.

RESPONSIBILITY

Human Resources
Senior Executive Council members
Department Heads
Managers/Supervisors

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REFERENCES

Civil Service Rule 20, Performance Evaluations
DHS Discipline Manual and Guidelines
DHS Policy #780, Performance Evaluations

DHS Human Resources Operational Procedures No. 780.000
Joint Commission Human Resources Standards HR.01.07.01

ATTACHMENTS

Attachment A – Designated Documents for Employee Review at Annual Performance Evaluation
Attachment B – Agreement of Understanding

REVISION DATES

August 1, 1995; January 6, 1999; April 9, 2002; November 1, 2002; May 13, 2005;
October 3, 2008; March 11, 2014; May 9, 2017; October 30, 2020