4.1 Describe the formal and informal performance appraisal processes used in the organization, including self-appraisal, peer review, and 360° evaluation (as appropriate) for all levels in the organization.

Performance evaluation is an integral part of the life of the organization. Informal appraisal is an ongoing dialogue that occurs on a day-to-day basis between employee and manager and among peers and colleagues. From the initial orientation period, the system of pairing new employees with preceptors creates the opportunity and expectation of this dialogue. Managers, colleagues and co-workers provide feedback as well as support for the new employee.

As staff continue to develop expertise in practice, they are encouraged to use clinical narrative as a tool to evaluate their professional practice. A clinical narrative is a first person "story" written by a clinician that describes a specific clinical event or situation. Writing the narrative allows a clinician to describe and illustrate her/his current clinical practice in a way that can be easily shared and discussed with professional colleagues. In addition, the narrative can help clinicians examine and reflect on their clinical practice or analyze a particular clinical situation.

Staff also enter into mentoring relationships with expert practitioners, for example with nurse researchers as described in Force 6.27, who provide advice and feedback to assist nurses as they advance their practice. Another form of evaluation of performance is the acknowledgement of excellence underscored by various recognition awards (refer to Force 4.3 for comprehensive listing of PCS awards), such as Partners in Excellence, Stephanie Macaluso, RN Excellence in Clinical Practice and the Jean M. Nardini Nurse of Distinction Award. Staff are nominated for these awards by colleagues and managers based on their assessment of individuals’ performance.

Formal, written performance appraisal is required for every employee annually. At a minimum, this includes a written description of the employee’s performance, a personal discussion of the evaluation between the employee and the evaluator, and follow-up in the form of counseling and ongoing review of goals and action plans, as appropriate. The evaluation is based on the position requirements as stated in the job description and on expectations and standards that have been communicated to the employee by the manager. Standard performance appraisal forms assure that significant elements are reviewed with each employee (attachment 4.1.a).

However, for nursing, performance evaluation goes beyond this minimum requirement and is strongly influenced by the vision, values and strategic direction of the department, the focus on patient- and family-centered care, the commitment to clinical excellence and the narrative culture that define nursing at MGH. Annual performance appraisals are a time to reflect on the previous year and establish goals that support the strategic plan of both the organization and department.

For Staff Nurses, four levels of practice (entry, clinician, advanced clinician and clinical scholar) are described using criteria within three major themes: clinician/patient relationship,
collaboration/teamwork and clinical knowledge and decision-making (attachment 4.1.b). The Staff Nurse position description links position responsibilities to the criteria for the levels of practice, and these are an important part of the evaluation process. Staff Nurses reflect on their practice, often completing a written self-evaluation, and also present a written clinical narrative. In order to facilitate this approach, the generic performance evaluation tool for direct care staff was adapted for Staff Nurses to highlight the major practice themes (attachment 4.1.c).

Advancement to Advanced Clinician and Clinical Scholar levels in the Clinical Recognition Program involves an in-depth review of performance against specific criteria. The Staff Nurse presenting for advancement completes a portfolio that includes, in addition to an introductory letter, a resume and a clinical narrative, letters of support and endorsement. The letters of support come from two colleagues within nursing and from one or two outside of nursing, and provide an assessment of the applicant’s practice in relation to the themes. The letter of endorsement, from the applicant’s manager, reflects the manager’s assessment that the clinician meets the criteria described for the level of practice for which s/he is seeking recognition. The process includes a review of the portfolio by the 12-member Review Board and an interview with a subgroup of three Review Board members (see also Force 11.5). The Review Board includes Staff Nurses who have been recognized as Advanced Clinicians and Clinical Scholars.

For their evaluation, the Nursing Directors are asked to complete a self-evaluation, comment on progress toward goals and identify development goals for the upcoming year. The Associate Chief Nurses write narrative summaries guided by the Kouzes and Posner leadership competencies: challenging the process, inspiring a vision, modeling the way, enabling others to act and encouraging the heart. Nursing Directors are also encouraged to write an administrative narrative to provide them an opportunity to reflect on their administrative practice. In discussion, the Associate Chief Nurse and Nursing Director review all documents, including annual competencies, confidentiality agreement and the conflict of interest statement (attachment 4.1.d). They compare and discuss their two perspectives and establish goals and plans for development. The Nursing Director also has the opportunity to provide feedback to the Associate Chief Nurse regarding the health of their working relationship and ways in which they can be supportive and helpful to one another.

In addition, 360° evaluation has been implemented for both the Nursing Directors and the Clinical Nurse Specialists. In 2003, in partnership with the Advisory Board Nursing Leadership Academy, leaders within the Department of Nursing began to develop a program of education to further enhance the skills of the Nursing Directors. Integral to the development of that program was an assessment of the current knowledge and skills of the Nursing Directors. To accomplish this, the Nursing Directors were asked to participate in a 360-degree evaluation. Each director completed a self-evaluation and was also evaluated by direct reports, peers and her/his immediate supervisor.
The evaluation focused on core competences: building relationships, leading, standards and accountability, planning and decision-making, communication and developing people. Specific results of the 360 were shared only with the individual Nursing Director who then was responsible for formulating a personal development plan, the goals of which were shared with the director’s Associate Chief Nurse. Aggregated results were shared with the Associate Chief Nurses, representatives from The Norman Knight Nursing Center for Clinical & Professional Development and a representative group of Nursing Directors who were responsible for planning educational programs based on those aggregated results. Based on the success of that program, a similar experience was planned and implemented in 2005 for the Clinical Nurse Specialists.

Goal development and feedback programs associated with the implementation provided a basis for individual goal development and informed the curriculum identified for leadership development. It should also be noted that both the Nursing Directors and Clinical Nurse Specialists are in the process of revising their performance appraisal tools. Based on twelve leadership competencies developed by the Patient Care Services Executive Committee and grounded in the work of Kouznes and Posner (attachment 4.1.e), each group is defining the behaviors specific to their role that demonstrate each competency.
Title: Performance Management Policy
Department: PHS Human Resources
Applies to: All Employees
Approved by: VP, Human Resources
Approval Date: April 1998
Review Date: February 2006

**Policy Statement:**
It is the policy of Partners HealthCare System Inc. (PHS) to review the performance of all employees on a regular basis. These performance appraisals must be based on the job duties (job description), responsibilities and projects assigned. In order to ensure employees are aware of their job duties and responsibilities, as well as the standards and expectations regarding performance, managers will discuss the job description and performance expectations with employees during the appropriate appraisal period and put the performance appraisal as well as results of their discussions in writing.

**Program Objectives:**
To enhance the performance and job satisfaction of employees by letting them know what is expected of them and how well they are performing their jobs.

To provide the data needed to assist with a variety of personnel decisions such as pay increase, promotion and retention decisions.

To encourage open and ongoing communication between managers and their employees.

To ensure goals and objectives are achieved in a coordinated manner.

To meet all legal and regulatory requirements.

**Performance Appraisal Review Dates:**
Employees are to have their performance formally appraised once each year, although it is recommended that informal reviews occur more frequently.

**Process:**
Employees should receive regular feedback on their performance throughout the year. Managers are encouraged to meet with their employees (particularly employees with performance problems) at least once during the appraisal period or more often if necessary, to review performance. There should be no surprises at the end of the appraisal period.
After the performance evaluations are completed and reviewed, the manager and the employee should sign the form at the end of the interview. The employee being reviewed should be requested to add comments if desired. The employee’s signature indicates only that the information was presented and discussed with the employee. The completed form will be included in the employee’s formal personnel file.

Employees who strongly disagree with the results of their performance appraisals, may put their comments in writing and/or request that the matter be reviewed by their manager. The Department Head, in consultation with the Human Resource Generalist, will determine the ultimate resolution.

The completed performance appraisals are not employment contracts and do not constitute an agreement by PHS to provide any benefit and are not subject to the Grievance Procedure. Rather, such evaluations are plans which set forth criteria by which performance will be assessed.

**OTHER APPLICABLE PARTNERS HEALTHCARE POLICIES:**
- Compensation Policy
- Corrective Action Policy
- Grievance Procedure Policy
- Involuntary Transfers Between Partners Entities Policy
- Transfer Policy
- Voluntary Transfers Between Partners Entities Policy
## Massachusetts General Hospital
## Patient Care Services
## Clinical Recognition Program
## Levels of Practice
## Nursing

<table>
<thead>
<tr>
<th>Theme</th>
<th>Entry</th>
<th>Clinician</th>
<th>Advanced Clinician</th>
<th>Clinical Scholar</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Clinician/Patient Relationship</strong></td>
<td>The interpersonal engagement or relational connection between the clinician and the patient and/or family.</td>
<td>• Demonstrates care and concern for patients and families.</td>
<td>• Individualizes care based upon the knowledge of the patient and the family.</td>
<td>• Intuitively uses self in the therapeutic relationship as a means to enhance care.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Recognizes how the clinician/patient relationship impacts the patient experience.</td>
<td>• Recognizes needs and advocates for the patient based on knowledge of condition.</td>
<td>• Actively empowers and advocates for patients and families to maximize their participation in decision-making and goal setting.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Begins to recognize the differences in how patients and families react to illness and treatment.</td>
<td>• Has awareness of one’s own values and how they affect interactions and relationships.</td>
<td>• Respects others’ values and suspends judgment.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Recognizes that cultural differences need to be considered in developing clinician-patient relationships.</td>
<td>• Recognizes that cultural differences need to be considered in developing clinician-patient relationships.</td>
<td>• Plans constructive interventions based on patient’s values.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Focus is on identifying cultural norms.</td>
<td>• Focus is on identifying cultural norms.</td>
<td>• Demonstrates scope of responsibility and accountability for clinical practice.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Develops and values collaborative relationships with patients and families.</td>
<td>• Effectively elicits cultural beliefs and values from patients and integrates these into overall patient care management.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Challenges and shapes systems on the unit and hospital wide to achieve best possible outcomes.</td>
</tr>
</tbody>
</table>
### Massachusetts General Hospital
Patient Care Services

Clinical Recognition Program
Levels of Practice
Nursing

<table>
<thead>
<tr>
<th>Theme</th>
<th>Entry</th>
<th>Clinician</th>
<th>Advanced Clinician</th>
<th>Clinical Scholar</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Collaboration/Teamwork</strong></td>
<td>Through the development of effective relationships with unit colleagues and other members of the health care team, the best possible outcome is achieved for the patient and family.</td>
<td>• Understands the role of other disciplines in the care of patients.</td>
<td>• Acts as a resource to colleagues or refers colleagues to others as necessary.</td>
<td>• Skillfully negotiates conflict to promote collaboration.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Identifies the resources that are available for patients and families.</td>
<td>• Anticipates patient/family needs and is proactive in initiating consults and/or engaging other team members.</td>
<td>• Peer development focuses on elevating the standard of practice as a whole. Implements unique and innovative approaches to meeting patient, family, unit and practice concerns.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Utilizes the assistance of resources and colleagues.</td>
<td>• Provides guidance to less experienced staff, i.e., precepts.</td>
<td>• Aware of and support of unit's and colleagues' needs through supportive and nonjudgmental behavior.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Understands unit-based structures that enhance communication between team members.</td>
<td>• Contributes to the effective operation of his/her unit.</td>
<td>• Leads/coordinates activities that impact the quality of care on the unit and/or patient population.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Understands his/her role as a member of the health care team.</td>
<td>• Understands his/her role as a member of the health care team.</td>
<td>• Achieves credibility. Peers and members of the health care team seek their consultation.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Participates in interdisciplinary forums that promote an integrated approach to patient care.</td>
<td></td>
<td>• Works effectively on hospital-wide teams and initiatives.</td>
</tr>
</tbody>
</table>
**Massachusetts General Hospital**  
**Patient Care Services**  
**Clinical Recognition Program**  
**Levels of Practice**  
**Nursing**

<table>
<thead>
<tr>
<th>Theme</th>
<th>Entry</th>
<th>Clinician</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Knowledge and Decision Making</td>
<td>Understanding attained through formal and experiential learning</td>
<td>• Safely implements nursing interventions and procedures in the care of the patient.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Demonstrates mastery of technical skills.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Through the ongoing experience of caring for patients and families, recognizes patterns that refine and influence future practice.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Is adaptable and flexible in managing clinical situations.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Begins to take clinically sound risks.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Seeks out and utilizes resources and colleagues to validate information in order to maintain the standards of care and practice.</td>
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<tr>
<td></td>
<td></td>
<td>• Recognizes the challenges of, and develops strategies for, prioritizing and organizing care.</td>
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<tr>
<td></td>
<td></td>
<td>• Recognizes the responsibility and accountability for his/her own practice.</td>
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<tr>
<td></td>
<td></td>
<td>• Acts as a resource to colleagues in relation to a particular patient population.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Past experience allows clinician to focus on &quot;probabilities versus possibilities&quot; when assessing and caring for patients.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Demonstrates a spirit of inquiry as it relates to clinical practice; wants to know why.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Initiates independent learning based on his/her needs.</td>
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<tr>
<td></td>
<td></td>
<td>• Is adaptable and flexible in managing unexpected clinical situations.</td>
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<tr>
<td></td>
<td></td>
<td>• Feels increasingly comfortable in taking clinically sound risks.</td>
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<tr>
<td></td>
<td></td>
<td>• Views clinical decision-making holistically, including both prior experiences and current situation.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Is recognized as an expert in area of interest and/or specialization.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Understands the impact of illness on the lives of patient and family.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Demonstrates exquisite foresight in anticipating and planning to meet patient and family problems and concerns.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Applies and shares relevant research with colleagues.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Critically evaluates own decision-making and judgments.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Consistently takes clinically-sound risks.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Independently seeks out opportunities to learn, teach and influence.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Successfully organizes and coordinates multiple activities, requests and needs.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Implements innovative approaches to meet the needs of patients and families.</td>
</tr>
</tbody>
</table>

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**Attachment 14.1.b continued**
MASSACHUSETTS GENERAL HOSPITAL
STAFF NURSE
EVALUATION FORM

Employee Name:  Unit #:  Review Week:

Employee's Job Title:  Department:

Name and Title of Evaluator:

Period covered by this evaluation:  From  To:

Reason for this evaluation:  Monthly  Annual  Other:

This evaluation form should be used in conjunction with a current job description for the position being evaluated. This will allow the actual performance measures included in this evaluation to be directly related to the specific duties and responsibilities of the position.

I. PERFORMANCE RATING LEVELS AND DEFINITIONS

The following levels and definitions are to be used in evaluating the employee's performance in each criterion. Ratings must be in whole numbers.

Level 5 = Performance exceeds job requirements: The employee's performance, within the criteria, is outstanding. He/she consistently performs above and beyond the expectations of the position.

Level 4 = Performance fully meets job requirements: The employee's performance, within the criteria, meets the full expectations of the position.

Level 3 = Performance meets job requirements with room for further development: The employee's performance, within the criteria, is acceptable and satisfactory. However, some further development is necessary before the full expectations of the position are realized.

Level 2 = Performance needs improvement: The employee's performance, within the criteria, does not meet the requirements of the position. Regardless of the cause(s) of the performance, improvement is necessary.

Level 1 = Unacceptable performance: The employee's performance, within the criteria, is clearly unacceptable. Immediate improvement must occur.

II. WEIGHTING EXPLANATION

Positions vary in scope and responsibility, therefore this evaluation form is designed to allow the evaluator to vary the relative weight assigned to each of the five performance criteria. These weightings should be discussed with the employee at the beginning of the evaluation period in order to facilitate prioritizing.

The weight assigned to each criterion will usually range from 1 (which equals 4% of the employee's overall job) to 16 (which equals 54% of the employee's overall job). HOWEVER, THE TOTAL WEIGHTS ASSIGNED TO ALL CRITERIA MUST EQUAL 25. ALL WEIGHTS MUST BE IN WHOLE NUMBERS.

III. NEW EMPLOYEE SECTION

If this is an employee's first performance evaluation at MGH please fill out this section. All others skip to section IV.

Through structured processes and documentation such as orientation, job descriptions, employee resumes, and competency tests, we are initially assessing the competencies of our employees. When an employee is new to MGH, there is certain essential information they need to learn about the Hospital. The Hospital and unit/department orientation process is the mechanism that MGH uses to provide this information. Please indicate the date of Hospital and unit/department orientation attendance. An MGH New Employee Orientation Checklist should be located in the unit or department employee file to record information covered during Hospital orientation. Units and departments should also maintain up-to-date unit/department specific orientation materials, and other examples of employee competency assessment.

Orientation to the Hospital  Date(s) Attended
Orientation to Department/Unit  Date(s) Attended

Draft 2005
Form #
IV. PERFORMANCE CRITERIA

A. Clinical Narrative
In writing a clinical narrative, choose a clinical event or situation that holds some special meaning for you and that reflects your current clinical practice. Some examples include:
- An experience with a patient or family that illustrates how your intervention made a difference in patient outcome
- A clinical experience that was particularly demanding
- An event or situation that you think captures the essence of your practice
- A situation that you commonly confront in your practice and that gave you new insight into your role as a professional clinician

Often, a single event shares several of these characteristics and can serve to illustrate multiple aspects of your practice. Attach additional pages as needed.

B. Clinical Knowledge and Decision Making
   Rating Assigned___ Weight Assigned___ Rating x Weight___
Extent to which the employee demonstrates mastery of technical skills, recognizes patterns that refine and influence future practice, is adaptable and flexible in managing clinical situations, takes clinically sound risks, utilizes resources to validate information in order to maintain standards of care and practice, develops strategies for prioritizing and organizing care, recognizes responsibility and accountability for own practice.

Justification for Rating

C. Clinician/Patient Relationship
   Rating Assigned___ Weight Assigned___ Rating x Weight___

Extent to which the employee: individualizes care based upon knowledge of the patient and family, recognizes needs and advocates for patients based on knowledge of condition, has awareness of own values and how they affect interactions and relationships, identifies cultural norms and considers cultural differences in developing clinician/patient relationships

Justification for Rating

D. Collaboration/Teamwork
   Rating Assigned___ Weight Assigned___ Rating x Weight___

Extent to which the employee: seeks and values collegial relationships between nursing and other disciplines, provides guidance to less experienced staff, contributes to the effective operation of the unit, understands her/his role as member of the health care team, participates in interdisciplinary forums that promote an integrated approach to patient care

Justification for Rating

E. Professionalism
   Rating Assigned___ Weight Assigned___ Rating x Weight___

Extent to which the employee: (1) works within legal, regulatory, and ethical practice standards relevant to position, (2) follows safe practices required for position, (3) complies with appropriate hospital and unit department policies and procedures, (4) fulfills hospital and department/unit required in-services/training, (5) pursues further training/education in overall job knowledge and professional knowledge, and willingly shares this knowledge with others in his/her area and the Institution, (6) meets attendance standards, (7) is punctual, well prepared for work/appointments, and (8) meets standards for personal appearance.

Justification for Rating
V. OVERALL PERFORMANCE RATING

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Knowledge / Decision Making</td>
<td>______</td>
</tr>
<tr>
<td>Clinician / Patient Relationships</td>
<td>______</td>
</tr>
<tr>
<td>Collaboration / Teamwork</td>
<td>______</td>
</tr>
<tr>
<td>Professionalism</td>
<td>______</td>
</tr>
<tr>
<td><strong>Total Performance Score</strong></td>
<td>______</td>
</tr>
</tbody>
</table>

VI. JOB DESCRIPTION

Job descriptions should be reviewed and updated, as appropriate, by a supervisor and with employee input, annually. The job description should be kept in the employee's unit/department records. Evaluator should sign that the employee’s job description has been reviewed within the previous 12 months:

Evaluator’s Signature

V. SUMMARY: OVERALL PERFORMANCE RATING

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Clinical Knowledge and Decision Making</td>
<td>______</td>
</tr>
<tr>
<td>B. Clinician/Patient Relationships</td>
<td>______</td>
</tr>
<tr>
<td>C. Collaboration/Teamwork</td>
<td>______</td>
</tr>
<tr>
<td>D. Professionalism</td>
<td>______</td>
</tr>
<tr>
<td><strong>Total Performance Score</strong></td>
<td>______</td>
</tr>
</tbody>
</table>
VI. CONFIDENTIALITY

All MGH employees should sign the Partners confidentiality statement annually. Evaluators should use this time to review the confidentiality policy at MGH with the employee being evaluated.

PARTNERS HEALTHCARE SYSTEM
PARTNERS COMMUNITY HEALTHCARE

CONFIDENTIALITY AGREEMENT

Partners HealthCare System, its affiliates and joint ventures, and Partners Community HealthCare have a legal and ethical responsibility to safeguard the privacy of all patients and to protect the confidentiality of their health information. Additionally, Partners HealthCare System, its affiliates and joint ventures, and Partners Community HealthCare must assure the confidentiality of its employee, payroll, fiscal, research, computer systems, and management information. In the course of my employment/assignment at a Partners organization/practice, I may come into the possession of confidential information. In addition, my personal access code [USER ID and PASSWORD] used to access computer systems is also an integral aspect of this confidential information.

By signing this document I understand the following:

1. Access to confidential information without a patient care/business need-to-know in order to perform my job — whether or not that information is inappropriately shared—is a violation of this policy. I agree not to disclose confidential or proprietary patient care and/or business information to outsiders (including family or friends) or to other employees who do not have a need-to-know.

2. I agree not discuss confidential patient, employee, payroll, fiscal, research or administrative information where others can overhear the conversation, e.g., in hallways, on elevators, in the cafeterias, on the shuttle buses, on public transportation, at restaurants, at social events. It is not acceptable to discuss clinical information in public areas even if a patient’s name is not used. This can raise doubts with patients and visitors about our respect for their privacy.

3. I agree not to make inquiries for other personnel who do not have proper authority.

4. I know that I am responsible for information that is accessed with my password. I am responsible for every action that is made while using that password. Thus, I agree not to willingly inform another person of my computer password or knowing use another person’s computer password instead of my own.

5. I agree not to make any unauthorized transmissions, inquiries, modifications, or purgings of data in the system. Such unauthorized transmissions include, but are not limited to, removing and/or transferring data from Partner’s computer systems to unauthorized locations, e.g., home.

6. I agree to log off a Partners workstation prior to leaving it unattended. I know that if I do not log off a computer and someone else accesses confidential information while the computer is logged on with my password, I am responsible for the information that is accessed.

Partners HealthCare System, its affiliates and joint ventures, and Partners Community HealthCare have the ability to track and monitor access to on-line records and reserves the right to do so. Partners HealthCare System, its affiliates and joint ventures, and Partners Community HealthCare can verify that those who accessed records did so appropriately.

I have read the above special agreement and agree to make only authorized entries for inquiry and changes into the system and to keep all information described above confidential. I understand that violation of this agreement may result in corrective action, up to and including termination of employment and/or suspension and loss of privileges. I understand that in order for any “USER ID” and/or PASSWORD to be issued to me, this form must be completed.

______________________________________________________
Signature of Employee / Physician / Student / Volunteer

______________________________________________________
Date

______________________________________________________
Print Name
IX. DEVELOPMENTAL SECTION (If more space is needed, please attach additional pages)

Equally important to performance evaluation is employee development. This section should be used to outline your plan to help the employee develop and progress toward his/her own goals and aspirations, or to overcome recognized deficiencies in his/her job performance. Outline your plan using the following guide: 1) DEVELOPMENTAL GOALS; 2) AGREED UPON PLAN FOR OBTAINING GOALS; 3) METHOD OF MEASURING ACHIEVEMENT; 4) TIME FRAME FOR ACHIEVEMENT.

When performance is meeting/exceeding unit expectations, completion of this section is encouraged. When performance is not meeting unit expectations, an outline of steps to achieve improvement within a specified time frame is required, and this section should be completed. (Attach additional pages if more space is needed)

X. SIGNATURES & COMMENTS (If more space is needed, please attach additional pages)

Employee’s Comments:

---------------------------------------------------------------------------------------------------------------------
Employee’s Signature                                                  Date
---------------------------------------------------------------------------------------------------------------------
Evaluator’s Comment:

---------------------------------------------------------------------------------------------------------------------
Evaluator’s Signature                                                  Date
---------------------------------------------------------------------------------------------------------------------
Department Head’s Signature                                           Date
Attachment 4.1.d

MASSACHUSETTS GENERAL HOSPITAL
EXECUTIVE/ADMINISTRATIVE/
MANAGERIAL/SUPERVISORY
EVALUATION FORM

Employee Name: Unit #: __ Review Week: ___ Review Date: ___
Employee's Job Title: ___ Department: ___
Name and Title of Evaluator: ___
Period covered by this evaluation: From: ___ Month/Year To: ___ Month/Year
Reason for this evaluation: Interim ☐ Annual ☐ Other ☐ (Specify)

This evaluation form should be used in conjunction with the Job Description for the position being evaluated. This will allow the measures of performance in the form to be related to the specific duties and responsibilities of the position.

I. RATING LEVELS AND DEFINITIONS

The following levels and definitions are to be used in evaluating the employee's performance in each criterion. Ratings must be in whole number.

Level 5 = Performance exceeds job requirements: The employee's performance, within the criterion, is outstanding. He/she consistently performs above and beyond the expectations of the position.

Level 4 = Performance fully meets job requirements: The employee's performance, within the criterion, meets the full expectations of the position.

Level 3 = Performance meets job requirements with room for further development: The employee's performance, within the criterion, is acceptable and satisfactory. However, some further development is necessary before the full expectations of the position are realized.

Level 2 = Performance needs improvement: The employee's performance, within the criterion, does not meet the requirements of the position. Regardless of the cause(s) of the performance, improvement is necessary.

Level 1 = Unacceptable performance: The employee's performance, within the criterion, is clearly unacceptable. Immediate improvement must occur.

II. WEIGHTING EXPLANATION

Due to the fact that positions vary in scope and responsibility, this evaluation form is designed to allow the evaluator to vary the relative weight assigned to each of the ten performance criterion. These weightings should be discussed with the employee at the beginning of the evaluation period in order to facilitate prioritizing.

The weight assigned to each criterion will usually range from 1 (which equals 4% of the employee's overall job) to 16 (which equals 64% of the employee's overall job). HOWEVER, THE TOTAL WEIGHTS ASSIGNED TO ALL CRITERIA MUST EQUAL 20. ALL WEIGHTS MUST BE IN WHOLE NUMBERS.

III. NEW EMPLOYEE SECTION
If this is an employee's first performance evaluation at MGH please fill out this section. All others skip to section IV.

Through structured processes and documentation such as orientation, job descriptions, employee resumes, and competency tests, we are initially assessing the competencies of our employees. When an employee is new to MGH, there is certain essential information they need to learn about the hospital. The hospital and unit/department orientation process is the mechanism that MGH uses to provide this information. Please indicate the date of hospital and unit/department orientation attendance. An MGH New Employee Orientation Checklist should be located in the unit or department employee file to record information covered during hospital orientation. Units and departments should also maintain up-to-date unit/department specific orientation materials, and other examples of employee competency assessment.

Orientation to the Hospital Dates Attended _____
Orientation to Department/Unit Date(s) Attended _____

Revised 7/2003

14
IV. PERFORMANCE CRITERIA

A. Financial Responsibilities Rating Assigned _____  Weight Assigned _____  Rating x Weight _____

The extent to which the employee: (1) effectively manages his/her area(s) in a fiscal sense, including human resources, supplies, equipment, overtime and/or other typical fiscal components, (2) participates in and is successful at budget preparation and/or compliance for his/her area(s) and can provide acceptable justification for variance, (3) contributes to overall sound financial management of the institution.

Justification for Rating _____

B. Compliance Rating Assigned _____  Weight Assigned _____  Rating x Weight _____

Extent to which employee: (1) works within legal, regulatory, and ethical practice standards relevant to position, (2) follows safe practices required for position, (3) complies with appropriate hospital and unit/department policies and procedures (4) fulfills hospital and department/unit required in-services/training.

Justification for Rating _____

C. Interpersonal and Communication Skills Rating Assigned _____  Weight Assigned _____  Rating x Weight _____

The extent to which the employee: (1) is effective, cordial, tactful, diplomatic, clear and concise in written and verbal communications, (2) effectively articulates own position while taking into consideration conflicting views and/or positions, (3) listens and interacts effectively without alienating others, (4) alters communication styles to be effective with different levels of personnel.

Justification for Rating _____

D. Leadership Rating Assigned _____  Weight Assigned _____  Rating x Weight _____

The extent to which the employee:

- (1) Inspires a Shared Vision and Purpose: engages others in the dynamic process of integrating mission and values in the drive towards inventing the future,
- (2) Thinks Strategically: critically evaluates, synthesizes, and interrelates information from internal and external sources when solving problems and making decisions,
- (3) Transforms Vision to Reality: gets results by managing strategy to action in the context of continuous change; assumes responsibility for achieving outcomes; willingly offers to take on new responsibility,
- (4) Communicates Effectively: leads others in two-way communication both verbally and in writing, uses effective listening skills by demonstrating attention to and conveying an understanding of the ideas and opinions of others,
- (5) Enables and Empowers Others to Act: creates and sustains an environment that integrates the values of shared decision-making into clinical and administrative practices; celebrates achievements of others,
- (6) Establishes Collaborative Relationships and Promotes Teamwork Within and Across Departments: creates strategic internal and external alliances to drive towards organizational goals,
- (7) Seizes Opportunities: takes decisive action on emerging opportunities in a rapidly changing environment; removes barriers to achieve outcomes and facilitate the work of others,
- (8) Recognizes, Develops, Implements and Shares Best Practices: demonstrates enthusiasm and openness to change based on new knowledge and utilization of internal and external expertise,
- (9) Acts with Integrity and Demonstrates Ethical Behaviors: demonstrates principled leadership; walks the talk and
- (10) Develops Oneself: demonstrates commitment to self-awareness, balance and life-long learning

Justification for Rating _____

E. Human Resources Management Rating Assigned _____  Weight Assigned _____  Rating x Weight _____

The extent to which the employee: (1) actively supports equal opportunity and cultural unity, (2) develops mutual trust and respect, maintains cohesive, supportive, productive work environment, (3) documents performance evaluations effectively and on time; develops employees through on-going coaching, counseling and training, and (4) selects competent employees with advancement potential and minimizes turnover.

WERE PERFORMANCE EVALUATIONS COMPLETED FOR ALL DIRECT REPORTS? YES _____ NO _____
WERE PERFORMANCE EVALUATIONS COMPLETED FOR ALL INDIRECT REPORTS? YES _____ NO _____

Justification for Rating _____

F. Accomplishment of Goals and Objectives Rating Assigned _____  Weight Assigned _____  Rating x Weight _____

The extent to which the employee: (1) establishes and accomplishes goals, objectives and routine operating duties in a competent and timely manner, (2) appropriately and effectively employs human, financial and material resources to achieve the goals and objectives of the department and/or the institution.
Attachment 4.1.d continued

G. Teamwork and Cooperation

The extent to which the employee: (1) achieves goals and objectives specifically by working with and through others, (2) willingly gives cooperation and easily obtains cooperation from others, (3) is a willing participant in problem solving, regardless of whether or not direct bearing on his/her area of responsibility is involved, (4) compromises, is flexible and recognizes the needs of the overall organization, (5) is willing to make concessions when appropriate in support of the collective good.

Justification for Rating ______

H. Professional Knowledge

The extent to which the employee: (1) understands all aspects of his/her position and its proper working relationship to others, (2) is current on the latest concepts, techniques and methods relative to his/her discipline(s) and areas of responsibility, (3) pursues further advancements to his/her overall job-related knowledge.

Justification for Rating ______

I. Innovation and Creativity

The extent to which the employee: (1) develops new ideas, alternative methods, different policies and procedures, enhancements to existing conditions and overall improvements within his/her area(s) of responsibility of the Hospital, (2) promotes and facilitates innovation and creativity on the part of others.

Justification for Rating ______

J. Consumer Relations/Hospitality

The extent to which the employee: (1) achieves positive patient/consumer relations within his/her span of control, and contributes to a positive public image of the overall organization, (2) has the trust and respect of others within and outside the department (3) is accessible to users of service, and (4) understands and practices concern for patients as ultimate consumers of all services provided.

Justification for Rating ______

K. Problem Identification and Solving

The extent to which the employee: (1) determines and isolates problems of various dimensions as opposed to symptoms, (2) identifies causes and formulates effective solutions, (3) effectively facilitates/impliments solutions.

Justification for Rating ______
V. SUMMARY: OVERALL PERFORMANCE RATING

Complete the following to determine the employee's total rating points.

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Financial Responsibility</td>
<td></td>
</tr>
<tr>
<td>B. Compliance</td>
<td></td>
</tr>
<tr>
<td>C. Interpersonal &amp; Communication Skill</td>
<td></td>
</tr>
<tr>
<td>D. Leadership</td>
<td></td>
</tr>
<tr>
<td>E. Human Resources Management</td>
<td></td>
</tr>
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<td>F. Accomplishment of Goals/Assignments/Objectives</td>
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</tr>
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<td>G. Teamwork and Cooperation</td>
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<tr>
<td>H. Professional Knowledge</td>
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<td></td>
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<tr>
<td>K. Problem Identification and Solving</td>
<td></td>
</tr>
</tbody>
</table>

Total Performance Score

VI. JOB DESCRIPTION

Job descriptions should be reviewed and updated, as appropriate, by a supervisor and with employee input, annually. The job description should be kept in the employee's unit/department records. Evaluator should sign that the employee's job description has been reviewed within the previous 12 months:

Evaluator's Signature
VII. CONFIDENTIALITY

All MGH employees should sign the Partners confidentiality statement annually. Evaluators should use this time to review the confidentiality policy at MGH with the employee being evaluated.

PARTNERS HEALTHCARE SYSTEM
PARTNERS COMMUNITY HEALTHCARE

Confidentiality Agreement

Partners HealthCare System, its affiliates and joint ventures, and Partners Community HealthCare have a legal and ethical responsibility to safeguard the privacy of all patients and to protect the confidentiality of their health information. Additionally, Partners HealthCare System, its affiliates and joint ventures, and Partners Community HealthCare must assure the confidentiality of its employee, payroll, fiscal, research, computer systems, and management information. In the course of my employment/assignment at a Partners organization/practice, I may come into the possession of confidential information. In addition, my personal access codes [User ID and Password] used to access computer systems is also an integral aspect of this confidential information.

By signing this document I understand the following:

1. Access to confidential information without a patient care/business need-to-know in order to perform my job—whether or not that information is inappropriately shared—is a violation of this policy. I agree not to disclose confidential or proprietary patient care and/or business information to outsiders (including family or friends) or to other employees who do not have a need-to-know.

2. I agree not to discuss confidential patient, employee, payroll, fiscal, research or administrative information where others can overhear the conversation, e.g., in hallways, on elevators, in the cafeterias, on the shuttle buses, on public transportation, at restaurants, at social events. It is not acceptable to discuss clinical information in public areas even if a patient’s name is not used. This can raise doubts with patients and visitors about our respect for their privacy.

3. I agree not to make inquiries for other personnel who do not have proper authority.

4. I know that I am responsible for information that is accessed with my password. I am responsible for every action that is made while using that password. Thus, I agree not to willingly inform another person of my computer password or knowingly use another person’s computer password instead of my own.

5. I agree not to make any unauthorized transmissions, inquiries, modifications, or purgings of data in the system. Such unauthorized transmissions include, but are not limited to, removing and/or transferring data from Partner’s computer systems to unauthorized locations, e.g., home.

6. I agree to log off a Partners workstation prior to leaving it unattended. I know that if I do not log off a computer and someone else accesses confidential information while the computer is logged on with my password, I am responsible for the information that is accessed.

Partners HealthCare System, its affiliates and joint ventures, and Partners Community HealthCare have the ability to track and monitor access to on-line records and reserves the right to do so. Partners HealthCare System, its affiliates and joint ventures, and Partners Community HealthCare can verify that those who accessed records did so appropriately.

I have read the above special agreement and agree to make only authorized entries for inquiry and changes into the system and to keep all information described above confidential. I understand that violation of this agreement may result in corrective action, up to and including termination of employment and/or suspension and loss of privileges. I understand that in order for any User ID and/or Password to be issued to me, this form must be completed.

__________________________________________  __________________________
Signature of Employee / Physician / Student / Volunteer / Non-Partners Personnel  Date

__________________________________________
Print Name
VIII. COMPETENCY ASSESSMENT

*Please note that the competency assessment tools in sections A and B are only a suggested format. Departments may create their own competency assessment tools as long as the required fields of documentation (Evaluation Method, Competency Level, Evaluator’s Initials and Date of Evaluation) are included. Also note that if competency assessment data is kept within the department, it must be readily available upon request from credentialing/regulatory agencies.

Competency Assessment Keys

<table>
<thead>
<tr>
<th>Evaluation Method:</th>
<th>Competency Level:</th>
<th>Age/Stage:</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Direct Observation</td>
<td>1. Competency Met</td>
<td>A. Neonate/Infant</td>
</tr>
<tr>
<td>B. Customer Feedback</td>
<td>2. Competency Not Met</td>
<td>B. Toddler</td>
</tr>
<tr>
<td>C. Documentation Review</td>
<td></td>
<td>C. Preschool</td>
</tr>
<tr>
<td>D. Analysis of Data</td>
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<td>D. School-age</td>
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<tr>
<td>E. Written Test</td>
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<td>E. Adolescent</td>
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<tr>
<td>F. Peer Review</td>
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<td>F. Adult</td>
</tr>
<tr>
<td>G. Verbalizes Knowledge</td>
<td></td>
<td>G. Elder</td>
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<tr>
<td>Other (please describe)</td>
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</tr>
</tbody>
</table>

A. Competencies Required for Position

While performance evaluation looks more broadly at how well individual employees perform their jobs as defined by job descriptions, competency assessment looks at an individual’s ability to actually perform the skills required in their roles.

List the competencies (job functions, skills and behaviors) required for the employee’s position. In addition to key job functions, suggested areas for competency assessment include:

*New equipment or new procedures requiring technical skills
*Competencies requiring critical thinking/decision making
*Low volume or high risk procedures or tasks (infrequent but consequential)
*Environment of care competencies (ensuring a safe environment for patients, family members, visitors and staff)
*Hospital-wide or Department-specific quality assurance initiatives

Indicate method of evaluation and employee’s level of competence for each competency listed using competency keys provided, as well as evaluator’s initials and date evaluated.

<table>
<thead>
<tr>
<th>Competencies to be assessed:</th>
<th>Evaluation Method</th>
<th>Competency Level</th>
<th>Evaluator’s Initials</th>
<th>Date Evaluated</th>
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<tbody>
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</table>
X. DEVELOPMENTAL SECTION (If more space is needed, please attach additional pages)

Equally important to performance evaluation is employee development. This section should be used to outline your plan to help the employee develop and progress toward his/her own goals and aspirations, or to overcome recognized deficiencies in his/her job performance. Outline your plan using the following guide: 1) DEVELOPMENTAL GOALS, 2) AGREED UPON PLAN FOR OBTAINING GOALS; 3) METHOD OF MEASURING ACHIEVEMENT; 4) TIME FRAME FOR ACHIEVEMENT.

When performance is meeting/exceeding unit expectations, completion of this section is encouraged. When performance is not meeting unit expectations, an outline of steps to achieve improvement within a specified time frame is required, and this section should be completed. (Attach additional pages if more space is needed)

XI. SIGNATURES & COMMENTS (If more space is needed, please attach additional pages)

Employee’s Comments:

__________________________________________  ________________________________
Employee’s Signature                      Date

*****************************************************************************

Evaluator’s Comments:

__________________________________________  ________________________________
Evaluator’s Signature                      Date

__________________________________________  ________________________________
Department Head’s Signature               Date

__________________________________________  ________________________________
AGD’s Signature                          Date
Patient Care Services

**Leadership Competencies**

1. **Inspires a Shared Vision and Purpose:** engages others in the dynamic process of integrating mission and values in the drive towards inventing the future.

2. **Thinks Strategically:** critically evaluates, synthesizes, and interrelates information from internal and external sources when solving problems and making decisions.

3. **Transforms Vision to Reality:** gets results by managing strategy to action in the context of continuous change; assumes responsibility for achieving outcomes; willingly offers to take on new responsibility.

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