Staff Member Name	**Employee ID #**	**Department Name**	**Job Title**	**Evaluation Period**

UMHS Strategic Goals

UMHS
Leadership Performance Plan and Evaluation
Instructions   SAMPLE
(click here to go directly to the form)

Please ensure you have time to read and understand the directions. Examples for each section are available. The goal of this process is to promote exemplary leadership and ensure you and your manager/director agree upon your responsibilities. Adjustments to the Plan can be made throughout the year as necessary based on changes in work priorities. Please use the colored links for more detailed information. **Blue** = definition and web link. (To view a tutorial, click **here**.)

There are three main sections in this form which make up the performance management process.
> Part A: Performance Plan (Created at the beginning of the fiscal year)
> Part B: Performance Evaluation (Completed at the end of the fiscal year)
> Part C: Leadership Development Plan (Continuously discussed and worked on throughout the year)

Part A: Performance Plan
1. To begin this section, you need to know:
   a. UMHS Strategic Goals
   b. Your Unit's goals
   c. Your job description (if your responsibilities have changed you may need to update your job description)
   d. UMHS Leadership Competency Model
2. Identify the Key Areas of Responsibilities (KAR), which represent your work based on your job description and assignments. KAR's include 1) the results that will have been achieved when a job is successfully performed, and 2) the quality performance standards and measurements that reflect customer satisfaction and operational success.
3. Review the Leadership Competency Model to assess which competencies are associated with successful performance for each KAR. These can be noted within the KAR, or only used in the Leadership Development Plan.
4. Discuss and finalize your performance plan with your manager.
5. *Optional*: track your progress in the Comments section or somewhere else for use during your performance evaluation at the end of the year.
6. At the end of the year, you, and your manager, will evaluate and rate your performance on each goal.

Part B: Performance Evaluation – At the end of the year, summarize the past year's performance. Use the Comment Section for a written review. Select an evaluation rating for your overall performance. Your manager will do the same. Discuss with your manager. Any goals not met can be included in the next year's performance plan.

Part C: Leadership Development Plan This section can be completed, reviewed and updated at any time of the year and at least once a year. This section is intended to help leaders continue to improve; it is not calculated into the performance evaluation. It is not limited to a one year accomplishment; instead, it is intended to encourage continuous development. This section has two parts:
> 1. Targeted Strengths   2. Developmental Needs/Gaps
1. The first part of your development plan includes Targeted Strengths. You can always enhance your overall leadership effectiveness by using your strengths to greater advantage on your current job. Select up to 3 competencies from the Leadership Competency Model that are considered Strengths. Establish a goal to help build on that strength for the future.
2. The second part includes Development Needs/Gaps. Gaps actually may be skills or behaviors you have to learn and do or that you simply have to do. They may include competencies that would enhance your current leadership effectiveness, or that would prepare you for a future position. Select up to 3 competencies from the Leadership Competency Model that are areas for development. Establish a goal that will help you learn a new skill or further develop a current skill or behavior.
3. Complete Action Steps, Timeframe and Expected Results for each competency selected in both categories.
4. At a time mutually agreed upon, review and discuss progress made on the Leadership Development Plan. Agree upon actions for future development and amend the Plan as appropriate.

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Leadership Performance Plan and Evaluation

Part A: Performance Plan

Review UMHS Strategic Plan

Add Your Unit's goals
1.

   SAMPLE

2.
3.
4.

Individual Performance Goals

1. Identify the Key Areas of Responsibilities (KAR), which represent your work based on your job description and assignments. KAR's include 1) the results that will have been achieved when a job is successfully performed, and 2) the quality performance standards and measurements that reflect customer satisfaction and operational success. 2. Review the **Leadership Competency Model** to assess which competencies are associated with successful performance for each KAR. These should be noted within the KAR and in the Development Plan. 3. Discuss and finalize your performance plan with your manager. Resources Start with Job Description Job Functions by Level of Supervision	**Evaluation** N = Not Met A = Approaching S = Solid Perform. E = Exemplary

➢ **KAR #1: Supervision** Hire, train, coach, evaluate, discipline clinic operations staff. Supervise daily activities of staff, assigning work, reviewing outcomes and ensuring clinic protocols are being followed. **Competency** Fosters & Promotes Teamwork	**Evaluation Rating**	
	Self	**Manager**

Goal(s):
   1. Hire and select team members based on the best combination of skills, job and organizational fit, ensuring diversity within 30 days of posting.
   2. Provide team members with written, current job descriptions upon hire or change in duties. Provide timely and useful performance and behavior feedback regularly.
   3. Orient all team members to a common vision and collective goals, using team and department meetings and other relevant communication vehicles. Go to the worksite to observe work process firsthand on a daily basis. Engage team members to identify problems and use root cause analysis to find solutions.
	S	**S**

Comments
Self: I have assembled the best team possible with everyone knowing their job and being highly engaged in their work.
Manager: Supervisor has hired an excellent team in the clinic. All staff know their job and all work together as a team with harmony. Supervisor has sent all team members to lean techniques training and they use the root cause analysis tools very effectively.

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KAR #2: Budget and Finance Establish and monitor an annual budget to cover salaries, supplies, materials and related clinic expenses. **Competency** Achieves Results	**Evaluation Rating**	
Goal(s): 1. Establish clinical supply and materials budget by June 1 for the following fiscal year. 2. Monitor expenditures to maximize use of resources and minimize waste.	**Self** S	**Manager** E

Comments

Self: The budget was established on time and we stayed within our budget limits for the fiscal year.

Manager: The budget was established in May of the preceding year and reflected the correct amount of supplies and materials needed to accomplish the work. By the end of the fiscal year, the inventory was used appropriately and there were no leftovers.

KAR #3: Operations **Competency** Solves Problems	**Evaluation Rating**	
Goal(s): 1. Identify the correct risks, issues and opportunities within the clinical workflow. Establish key performance indicators for the clinic and provide a weekly update of progress to the team. 2. Organize teams to identify gaps in operational performance, empowering them to analyze causes and recommend solutions.	**Self** S	**Manager** A

Comments

Self: I have several problem solving teams that are constantly seeking improvements in their processes. Several areas of waste have been identified and eliminated during the year.

Manager: Supervisor conducted a needs assessment of the patients in the clinic and determined that a major concern of 36% of the patients was getting Starbucks coffee. Supervisor was able to get a coffee machine in the waiting room that dispensed Starbucks. While some of the patients are happier, many others continue to have concerns.

Part B – Performance Evaluation

Summary of Past Year's Performance (Include supporting comments.)

Supervisor did an excellent job at hiring the right people for the clinic, training them and ensuring that roles were clear. The team members appreciate Supervisor's attention to their concerns. The patient satisfaction scores for the clinic are good but can be better.

Overall Performance Rating	**N**	**A**	**S**	**E**
Scale: **N** = Not Met **A** = Approaching **S** = Solid Performance **E** = Exemplary	☐	☐	☑	☐

Employee Comments: (Optional)

Overall, I had a good year with a lot of improvement made in the clinic. I plan to continue my efforts to make the clinic run better.

Manager's Signature _____ **Date** _____

Employee's Signature _____ **Date** _____

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Leadership Performance Plan and Evaluation
Part C: Leadership Development Plan

The next two pages are a description of the **Leadership Competencies**. There are 12 Competencies divided into 4 Domains. Each Domain is defined on the first page and each Competency is defined on the second page. Use these Competencies in your **Development Plan**. At UMHS we serve and work with a variety of individuals and groups. Each leader must, therefore, apply the principles, definitions and behaviors of leadership to those whom they specifically serve, which may include patients, families, staff, faculty, students, trainees, physician partners, payers, vendors, etc.

Domains	Definition	Competencies
**Leadership at UMHS is the ability to achieve exceptional results by transforming the organization and developing people to create the future.**		
Mission	UMHS leaders demonstrate institutional responsibility placing UMHS goals as primary. They speak openly and with conviction about their guiding vision and values. They put those whom they serve (patients, families, staff, faculty, learners, etc.) first, leading change to promote equity and inclusion for all.	• **Creates Value for the Diverse Communities We Serve** • **Creates a Shared Vision** • **Leads Innovation and Change**
People	UMHS leaders recruit, select, train, develop, and manage people. They engage people to evoke excellence in all they do. They encourage people to practice healthy behaviors. Leaders build leaders. Leaders build teams with common goals and interdependence.	• **Fosters and Promotes Diverse Teams** • **Collaborates and Builds Inclusive Relationships** • **Coaches and Develops Others**
Execution	UMHS leaders are strong in achievement and practice what they teach. They go and see to grasp the situation or problems. They plan experiments to achieve results based on root causes. They check and adjust regularly.	• **Achieves Results** • **Solves Problems** • **Aligns Culture**
Self	UMHS leaders are emotionally intelligent and practice self-reflection. They are aware of their guiding values, and their biases. They assume they do not know the best course of action. They can break down a complex situation into manageable chunks. Leaders model healthy behaviors.	• **Adapts** • **Acts with Courage and Confidence** • **Communicates**

Guiding Principles
- Leaders build consensus on and communicate clear, institutionally-aligned and challenging direction.
- Leaders recruit, develop, mentor and engage teams of collaborative, talented people.
- Leaders include and respect all individuals and groups.
- Leaders encourage intelligent risk taking
- Leaders encourage thoughtful experiments in everyday work to foster innovative and creative initiatives.
- Leaders go see to gain first-hand knowledge of their organization's processes and problems.
- Leaders ask 'why' to learn more about causes of problems in order to mentor others' problem solving.
- Leaders understand that the health and safety of our patients, faculty, staff and students are the heart of our work.
- Leaders demonstrate the highest level of integrity and ethics in all they do and say.
- Leaders understand market and industry trends, championing business initiatives and relationships to remain market competitive.

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Competencies	Definition
Creates Value for the Diverse Communities We Serve	UMHS leaders foster a climate of service excellence in which people are engaged in creating the ideal patient, staff/faculty, student and/or customer experience. Leaders engage patients and families in their health care; students in their learning; and staff/faculty in their performance and development. They make themselves available, spending time in the workplace. Leaders prioritize, reducing overburden for those they lead.
Creates a Shared Vision	UMHS leaders inspire people through building consensus around a compelling vision and shared mission, including strategic clinical, research and educational initiatives. A hallmark of their achievements is in continually learning and innovating – and teaching faculty, staff and students – ways to do better. Leaders see standard work and experimentation as the basis of innovation and creativity.
Leads Innovation and Change	UMHS leaders catalyze change by recognizing its need, challenging the status quo, energizing stakeholders, and championing experiments to improve. Leaders are strong advocates of change even in the face of opposition, and make the compelling argument. They find practical ways to overcome barriers to change through deep knowledge of the way work is done and the root causes of problems. Leaders engage diverse teams in change activities.
Fosters and Promotes Inclusive Teams	UMHS leaders see themselves as leaders of others, pulling together diverse groups of people and engaging them in a single purpose while encouraging transparency, service to each other, respectful behavior, candid conversation and achievement. Leaders foster an environment which encourages a healthy balance of work and personal life for themselves and their team. Leaders build trusting relationships with team members through respectful and thoughtful interactions.
Collaborates and Builds Inclusive Relationships	UMHS leaders generate an atmosphere of collegiality and are models of respect, helpfulness and cooperation. They draw others into active, enthusiastic commitment to the collective effort, and build spirit and identity. They spend time forging and cementing professional relationships, creating internal and external networks.
Coaches and Develops Others	UMHS leaders are adept at cultivating people's abilities. Leaders embrace their role as coach to their staff/faculty and others and have a genuine interest in helping them develop professionally and personally. Leaders give timely and constructive feedback on performance, behaviors and developmental areas building trust with those they coach. They ask questions, refrain from directing the thinking process and encourage problem solving by others.
Achieves Results	UMHS leaders have high personal standards that drive them to constantly seek performance improvements – for themselves and for those they lead. They set measurable but challenging goals, and are able to calculate risk so that their goals are worthy but attainable. Leaders achieve exceptional improvements through the development of teams focused on a common vision and goals. They track progress to the plan, make adjustments, and show resilience at setbacks.
Solves Problems	UMHS leaders identify and solve problems through a scientific root cause analysis based on first hand observation. They go see, ask why, and show respect. They use systematic problem solving models, inclusive of diverse perspectives. In appropriate situations, leaders are decisive, knowing when and how to decide in the face of uncertainty and ambiguity.
Aligns Culture	UMHS leaders are politically and organizationally astute. They understand internal and external forces. Leaders guide the appropriate combination of people, money, practices, policies and technology to reinforce change and the organization's mission.
Adapts	UMHS leaders are adaptable and seek to resolve multiple demands without losing their focus and energy. They strive to clear up ambiguities and uncertainties of organizational life. Leaders adapt to new challenges, adjust to fluid change, and are limber in their thinking in the face of new data or realities. Leaders demonstrate flexibility in both work and home life to address changing demands. Routinely checks and adjusts, anticipating not all plans will work.
Acts with Courage and Confidence	UMHS leaders are focused, goal driven and excel in acting confidently and with initiative. They lead by sharing power, putting the needs of others first and helping others develop and perform as highly as possible. They seize opportunities, welcome and share challenging assignments and integrate present realities and future possibilities.
Communicates	UMHS leaders create an atmosphere in which timely and high quality information, reflecting diverse thinking, flows smoothly. Leaders encourage the open expression of ideas and opinions. Leaders are role models in delivering clear presentations, actively listening and preparing well-written documents.

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<table>
<tr><td colspan="4" style="background:#1F3864;color:white;text-align:center">Building on Strengths
You can always enhance your overall leadership effectiveness by using your strengths to greater advantage on your current job. Select up to 3 competencies from the Leadership Competency Model that are considered Strengths. Establish a goal to help build and maintain that strength for the future.</td></tr>
</table>

Targeted Strengths	Action Steps/Plan (What will be done and how will it be accomplished.)	Timeframe	Expected Results (Change in skill, knowledge or behavior)
Strength: Creates Value For Those We Serve Goals: Increase my knowledge and understanding of what frustrates my patients the most when they have clinic visits.	1. Research data gathering methodologies which are appropriate. 2. Analyze the data. 3. Implement the most relevant tool that will gain the best information. 4. Establish a feedback system to verify with patients that the data accurately reflects their needs.	By end of Q1 Within 60 days Within 60 days Within 2 weeks March 1 Complete	I will know what the "pain points" are for my patients coming to the clinic and will have the ability to initiate problem solving to reduce some of their concerns and better meet their needs. My patients will be happier when they arrive and will be able to better communicate about their medical problems when not so concerned about other issues.
Strength:_____ Goals:			
Strength:_____ Goals:			

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Filling in the Gaps

Gaps actually may be skills or behaviors you have *to learn* and/or do. They may include competencies that would enhance your current leadership effectiveness, or that would prepare you for a future position. Select one competency from the Leadership Competency Model that is a gap. Establish a goal that will help you learn a new skill or further develop a current skill or behavior.

Development Gap	Action Steps/Plan (What will be done and how will it be accomplished.)	Timeframe	Expected Results (Change in skill, knowledge or behavior)
Gap:_____ Goals:			

Manager's Signature _____ **Date** _____

Employee's Signature _____ **Date** _____