

**SAMPLE Direct Services
Competency Performance and Appraisal Plan
Psychotherapist/Case Manager**

Location: _____

Name: _____

Date: _____ Date Employed: _____

Title: _____ Name/Position of Evaluator: _____

Appraisal Period: From _____ To _____

- _____ Annual Performance Appraisal
- _____ Initial Probationary Performance Appraisal
- _____ Special Performance Appraisal (specify reason):
- _____ Other (specify reason):

Content Areas

- Section A: Major Areas of Responsibility
- Section B: Skills and Ability
- Section C: Documentation of Achievement
- Section D: Documentation of Areas of Needed Development
- Section E: Overall Performance Rating
- Section F: Board /Evaluators Comments
- Section G: Goals/Objectives for Upcoming Appraisal Period
- Section H: Recommendations for Corrective Plan

Score		
Major Areas of Responsibility		
Skills and Abilities		

Objective

The Purpose of a performance appraisal is to objectively evaluate an employee's professional performance in accordance with the position description. The appraisal is also intended as a communication tool between the employee and the manager.

The evaluation tool is designed to identify key responsibilities on an annual basis, oversight of performance measures in accordance with the employee's job description, corporation's strategic and business goals, performance expectations, and skills or knowledge of the employee required by the position. An individual's strengths and areas of development are identified. The overall performance rating should reflect the employee's conformation to the position description

Employee

Manager

Date

I have reviewed this evaluation, and
It has been explained to me.

=====For HR Use Only=====

Date Received: _____

Next Comp Date: _____

Other Follow Up Dates: _____

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Section A: Major Areas of Responsibility – (MAR)

MAR 1A: Core Clinical Competencies Based on Key Indicators

- a) Performs an assessment of consumers which meets established funder and/or regulatory standards/ requirements.
- b) Completes a through assessment of consumers, which include sufficient documentation of symptomatology and functioning levels to support the diagnosis and global levels of functioning score as indicated.
- c) Develops individualized treatment plans on all consumers within the time limits established by funder and/or regulatory requirements.
- d) Develops quality treatment plans as indicated by the inclusion of the assessment presenting problem as the primary focus of the treatment designed to reduce, eliminate or maintain where appropriate the primary behaviors, emotions, cognitions associated with the presenting problem.
- e) Organizes time and case load such that all treatment plan review are completed within the time frames set by funding and/or regulatory requirements.
- f) Assesses and includes accurate GAF scores within assessment and discharge documentation.
- g) Performs discharges of clients which meet established funder and/or regulatory standards/requirements.

- _____ (6) GOES BEYOND MOST JOB REQUIREMENTS IN THIS AREA: Considered an expert.
- _____ (5) GOES BEYOND SOME JOB REQUIREMENTS IN THIS AREA: Performs correctly every time and is adaptable.
- _____ (4) MEETS JOB REQUIREMENTS IN THIS AREA: Performs correctly and can adapt to unusual circumstances.
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MAR 2B: Age/Population Specific Indicators

- a) For use in assessment, treatment planning and treatment: Demonstrates working knowledge of child and adolescent DSM-IV diagnoses. Displays knowledge of growth and development of children and adolescents and its applied relevance to behavior. Displays ability to gather and interpret data in relation to the child's age.
- b) Displays knowledge of growth and development and its applied relevance to the behavior of the adult population. Displays ability to gather and interpret data and makes adjustments to changes and limitations associated with aging.
- c) For use in assessment, treatment planning and treatment: Displays knowledge of growth and development and its applied relevance to the behavior of the geriatric population. Displays ability to gather and interpret data in relation to the geriatric client's age and mental alertness.
- d) With regard to chemically dependent clients, staff member demonstrates competence in: gathering and interpreting data about the dependence; knowledge of the natural history of dependence; understanding of the biopsychosocial influences and effects of dependencies; understand the range of treatment needed by such individuals; knowledge of available treatment resources and their appropriate use.

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MAR 3: Consult with and back-up hotline and other volunteer services.

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MAR 4: Screen and evaluate requests for service.

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MAR 5: Intervene, stabilize and manage acute crisis situations and serve as part of the ECASP on-call rotation as assigned.

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MAR 6: Provide psychotherapy and case management services as indicated within the accepted standards.

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MAR 7: Assess and evaluate client needs and resources.

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MAR 8: Refer and link clients to other human service programs.

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MAR 9: Work with an interdisciplinary team in reviewing cases and planning treatment.

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MAR 10: Develop individual treatment plans.

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MAR 11: Implement treatment through various therapeutic modalities such as individual, family, group or conjoint therapies.

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MAR 12: Consult with other Center staff regarding problem assessment and treatment planning.

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MAR 13: Consult with other service agencies around case-specific and programmatic issues.

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MAR 14: Serve as liaison to other agencies as needed.

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MAR 15: Maintains a 90% or higher kept rate for all clinical appointments with consumers.

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MAR 16: Participation, when assigned, in the BGC, ECASP on-call rotation.

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MAR 17: Complete clinical documentation in Support of services provided on a timely basis.

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MAR 18: Maintain 100% UM/UR compliance.

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MAR 19: Demonstrates ability to complete all documentation appropriately and turn in completed documentation with in 24 hours after service is rendered.

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MAR 20: Service hours reflect appropriate levels (65% billable activities/1352 direct service hours).

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COMMENTS FOR MAR:

A large, empty rectangular box with a black border, intended for writing comments. It occupies the majority of the page below the 'COMMENTS FOR MAR:' label.

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Section B: Skills and Abilities – (SAB)

a) **SAB 1:** Is able to be a “Team Player” when needed.

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SAB 2: Professional Values and Ethics

This includes both private and public behavior that is role-related. Major principles are drawn from guidelines in professional standards and ethics, as evidenced by:

- a) Employees’ ethical standards are compatible with professional standards of responsible conduct;
- b) Employee is knowledgeable of professional values and ethics that govern area of practice;
- c) Employee acts in an ethical manner;
- d) Employee is aware of ethical concerns;
- e) Employee is committed to the practice of professional values and ethics;

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SAB 3: Understands organizational goals.

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_____ (1) DOES NOT MEET ANY JOB REQUIREMENTS IN THIS AREA:

SAB 4: Able to work toward constructive solutions in problem-solving.

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SAB 5: Aware of public relations/marketing issues.

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SAB 6: Able to be a good spokesperson for BGC.

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SAB 7: Is able to do public speaking.

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SAB 8: Life Safety knowledge is appropriate, i.e., tornado drills training, fire safety, etc.

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SAB 9: Understands, supports, interprets and implements Client Accounts policies.

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SAB 10: Shows ability to conduct all professional activity in an ethical manner.

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SAB 11: Demonstrates ability to conform to all applicable BGC policies and procedures.

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SAB 12: In conjunction with other staff, assist in identifying and eliminating any situation which jeopardizes the health and/or safety of clients, staff, or others who come in contact with community mental health center operations.

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SAB 13: Demonstrates ability to utilize literature, workshops and other training aids to continually improve clinical and administrative skills.

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SAB 14: In conjunction with supervisor, complete and implement Individual Professional Development Plan.

- _____ (6) GOES BEYOND MOST JOB REQUIREMENTS IN THIS AREA: Considered an expert.
- _____ (5) GOES BEYOND SOME JOB REQUIREMENTS IN THIS AREA: Performs correctly every time and is adaptable.
- _____ (4) MEETS JOB REQUIREMENTS IN THIS AREA: Performs correctly and can adapt to unusual circumstances.
- _____ (3) DOES NOT MEET SOME JOB REQUIREMENTS IN THIS AREA: Performs correctly in most instances.
- _____ (2) DOES NOT MEET MOST JOB REQUIREMENTS IN THIS AREA: Inconsistent application.
- _____ (1) DOES NOT MEET ANY JOB REQUIREMENTS IN THIS AREA: Chooses not to apply knowledge.

SAB 15: Shows ability in assuring BGC compliance with all related licensing and accreditation requirements.

- _____ (6) GOES BEYOND MOST JOB REQUIREMENTS IN THIS AREA: Considered an expert.
- _____ (5) GOES BEYOND SOME JOB REQUIREMENTS IN THIS AREA: Performs correctly every time and is adaptable.
- _____ (4) MEETS JOB REQUIREMENTS IN THIS AREA: Performs correctly and can adapt to unusual circumstances.
- _____ (3) DOES NOT MEET SOME JOB REQUIREMENTS IN THIS AREA: Performs correctly in most instances.
- _____ (2) DOES NOT MEET MOST JOB REQUIREMENTS IN THIS AREA: Inconsistent application.
- _____ (1) DOES NOT MEET ANY JOB REQUIREMENTS IN THIS AREA: Chooses not to apply knowledge.

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COMMENTS FOR SAB:

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Section C: DOCUMENTATION OF ACHIEVEMENT

If employee scored 4, 5, or 6 on any of the MAR and/or SAB areas please document specific examples of performance used to support the score. Be as specific as possible

MAR/SAB#

MAR/SAB #

MAR/SAB #

MAR/SAB #

MAR/SAB#

MAR/SAB#

MAR/SAB#

MAR/SAB#

MAR/SAB#

MAR/SAB#

MAR/SAB#

MAR/SAB#

MAR/SAB#

Measurement Tools:

- P: Personal Observation
- S: Supervision/Case Staffings
- E: Education/Training/CEUs
- V: Videos/Readings
- O: Outcome Measurements
- U: Utilization Management
- C: Consumer Satisfaction

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Section D: DOCUMENTATION OF NEEDED DEVELOPMENT /DEFICIENCY

If employee scores a 1, 2, or 3 in any of the MAR and/or SAB areas, please document specific examples of performance used to support the score, Avoid vague descriptions when possible.

MAR/SAB #:

MAR/SAB #:

MAR/SAB #:

MAR/SAB #:

MAR/SAB#

MAR/SAB#

MAR/SAB#

MAR/SAB#

MAR/SAB#

MAR/SAB#

MAR/SAB#

MAR/SAB#

MAR/SAB#

Measurement Tools:

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- S: Supervision/Case Staffings
- E: Education/Training/CEUs
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SECTION E: OVERALL PERFORMANCE RATING

To determine the overall score, add the entire individual scores in the MAR and SAB areas, _____. Count all the MAR and SAB areas used. Divide the total individual score (the first number) by the number of areas used (second number) and round to the first decimal point. This is the individual's overall score _____.

- _____ 5.5-6.0 GOES BEYOND MOST POSITION REQUIREMENTS: Employee consistently performs beyond the established goals and objectives of his/her professional responsibilities. She/he makes contributions demonstrating creativity, leadership and initiative. Employee demonstrates a clear understanding of a shared responsibility for corporate values. Employee is viewed as a leader and role model for the position.
+ .50% **Manager Discretion**
- _____ 4.5-5.4 GOES BEYOND SOME JOB REQUIREMENTS: Employee consistently performs in a fully effective mode and regularly makes contributions beyond the established goals and objectives of the position, including solving problems effectively affecting the various departments of the corporation. Employee is considered to have potential for increasing responsibilities.
+ .25% 95% + Customer Satisfaction/80% of all clients will successfully complete an episode of care with at least a 10 point improvement in GAF
+ .25% 90%+ Kept Rate
+ .50% 69% + Productivity
+ .50% 65-69% Productivity
- _____ 3.5-4.4 MEETS JOB REQUIREMENTS: Employee consistently performs all responsibilities of a position at or near full proficiency, meeting established objectives for the position. Employee is viewed by others in the organization and subordinates as fully knowledgeable of all aspects of the professional responsibilities. Employee is considered to have potential for continued growth and responsibility.
3% 65% productivity 100% Doc Completion 100% Utilization Review
- _____ 2.5-3.4 DOES NOT MEET SOME JOB REQUIREMENTS: Employee is performing the majority of his/her responsibilities in a fully effective mode, however requires concentrated efforts by the Board to become fully effective in all aspects of the position. This employee's appraisal should specifically identify the areas of development required to become fully effective (see Performance Improvement Plan). The next performance review will be in six months.
- .50% 55-64% Productivity
- .50% 50-54% Productivity
- _____ 1.5-2.4 DOES NOT MEET MOST JOB REQUIREMENTS: Employee is not performing many of his/her responsibilities at a fully effective level. Those areas which are not being performed effectively are specifically identified in a corrective plan* (which will guide the employee and supervisor in a three month improvement process) or the employee should be discharged in accordance with the terms of his/her employment contract.
-1% Less than 49% Productivity
- .25% Utilization Review less than 100%
- .25% DOC Completion less than 95%
- _____ 0-1.4 DOES NOT MEET ANY JOB REQUIREMENTS: Employee is not performing his/her responsibilities at a fully effective level. Those areas not being performed effectively are specifically identified in a corrective plan* (which will guide the employee and supervisor in a three month improvement process) or the employee should be discharged in accordance with his/her employment contract.
- .50% Manager Discretion

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* If a decision is made to develop a corrective plan, the supervisor will review progress toward successful completion on at least a monthly basis and the employee must be re-evaluated at the end of the three months

SECTION F: EVALUATOR'S COMMENTS:

Manager

Date

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SECTION G: GOALS AND OBJECTIVES FOR UPCOMING YEAR

A large, empty rectangular box with a black border, intended for the user to write their goals and objectives for the upcoming year. The box occupies the majority of the page below the section header.

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SECTION H: RECOMMENDATIONS FOR CORRECTIVE PLAN

If employee scores a 1,2, or 3 in any MAR and/or SAB areas.

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