

Policy Title: Performance Evaluations and Progressive Disciplinary Process

Policy Owner: Director of PTT Policy Originated by: PTT	Date Written: 10/1/13
Applicable Programs: All	Date Reviewed and Approved by PLT: 04/01/14, 04/21/15, 11/28/17, 08/01/18, 12/11/19, 1/10/24, 5/20/2025
Statutory or Regulatory Citation: Minn. Stat. 245D.09	Signature if needed:

Policy

St. David's strives to recruit and retain highly qualified and dedicated individuals who will carry out the mission, vision and values of St. David's. To achieve this, St. David's requires both employees and supervisors to maintain accountability for the quality of work performed, as well as for the continued professional growth of each employee.

Procedure
I. St. David's expects supervision to include the following general principles:

- A. Regular: Meetings between supervisor and supervisee should be regular and dependable. The frequency of supervision meetings may vary from area to area, however, supervision meetings occur on a regular and predictable schedule.
- B. Collaborative: Supervision is collaborative. Supervisor and supervisee should share responsibility to problem solve individual work issues and to facilitate the ongoing professional development of the supervisee.
- C. Reflective: Supervision is an opportunity for self-reflection, to look objectively at the whole situation including one's own reactions and internal responses, and to recognize the impact of one's work and its effect on others. The process of self-reflection within the supervisory relationship helps the supervisee to become more attuned and responsive to others.

II. 90 Day Review – Probationary Period

- A. All staff will be subject to a 90-day review, to take place up to or by 90 days after the first day of employment. This provides the employee and supervisor with the opportunity to discuss what is going well during the first 90 days, what training is still needed, and where changes can be made for greater success. The purpose of the review is to provide feedback, clarify expectations, review training requirements, and develop goals with timelines.
- B. During the 90-day review, supervisors will review training requirements with staff and ensure that all mandatory training requirements have been met.

III. Annual Performance Review and Documentation of Fulfillment Training Requirements

- A. St. David's supervisors strive to maintain relationships that offer continuous opportunity for feedback and professional development. The annual performance review is a formalized review of what the supervisor has learned about the performance of the employee through supervision meetings and observation of the employee's work. It is also an opportunity to collaborate with the employee to set appropriate goals for the next review period.
- B. All staff members will be contacted by their primary coordinator or supervisor prior to the annual review period. At this time, staff will be informed of their upcoming annual review, and the requirements for the evaluation.
- C. Staff will be evaluated based on a self-evaluation, client/responsible party evaluation (as applicable), and the supervisor's evaluation.
- D. Staff must demonstrate at the annual review that they have met annual program-specific training requirements, which may include, but are not limited to:
 - i. Vulnerable Individuals (complete post-test)
 - ii. OSHA/Blood Borne Pathogens (complete post-test)
 - iii. HIPAA (complete post-test)
 - iv. Medicare Fraud, Waste & Abuse Compliance (complete post-test)
 - v. St. David's Employee Policies (provide electronic access to employee and

complete post-test)

- E. The annual performance reviews conducted for each employee will be documented in the personnel file.
- F. Following an annual review, every 90-180 days, the supervisor and employee will meet to discuss any goals that were set during the annual evaluation. These meetings will be documented in the individual's personnel file.
- G. All staff must fulfill the annual evaluation and training requirements. Failure to do so will result in suspension of employment until the individual has undergone an annual review and demonstrated compliance with training requirements.

IV. Progressive Discipline

Overview

St. David's supervisors strive to help employees identify any performance issues and provide tools and training to overcome them within the scope of regular supervision meetings. However, when performance issues persist or are of a severe nature, additional measures may be necessary to manage the issues. Situations in which a corrective action may be used include, but are not limited to: policy violations, unprofessional behavior, failure to meet performance standards, and poor attendance.

Steps:

The following steps serve as a guide for the St. David's progressive disciplinary process.

- A. The first step in all supervisory relationships is to have **deliberate development/coaching** with the employee. This step is to build accountability with the employee and provide feedback on behaviors or performance concerns. The supervisor shall document the coaching and include it in the employee's personnel file.
- B. The next step is to follow a **Performance Improvement Plan (PIP)** when there is a pattern of failure to follow a policy, poor attendance or unprofessional behavior which has not been adjusted through coaching/development. The PIP shall be documented and included in the employee's personnel file.
- C. The last step may be a **Final Corrective Action Plan** which should be completed by the supervisor that includes observed problem behavior and previous discussion information, the impact this behavior is having on the team/position, the expected behavior from the employee, and the goals and timeline to follow. The employee

should review this form and have sufficient time to make any additional comments to the form. The employee and supervisor will sign this form and it will be included in the employee's personnel file.

- D. Should an employee behave in a way that would violate the St. David's policies or violate any licensing standards of behavior per their license, these complaints/reports may result in a report to the applicable licensing board.
- E. The progressive performance disciplinary process outlined above will apply in most circumstances, but in no way prevents St. David's from taking immediate employment action, up to and including termination of employment, where appropriate. This policy does not alter the at-will employment relationship between St. David's and its employees, which means that the employment relationship may be terminated at any time for any reason not prohibited by law.

V. Wrongful Acts Against Clients

The conduct of St. David's employees, subcontractors, volunteers, and others who come into contact with clients is governed by all of St. David's policies and procedures. Where it has been alleged that specific wrongful acts have been committed by an employee, subcontractor, volunteer, or other individual who comes into contact with clients, St. David's will immediately investigate such allegations and take appropriate action depending on the results of the investigation. Specific wrongful acts include, but are not limited to, theft of the client's property or abusive or neglectful behavior toward a client. Where specific wrongful acts against a client have been substantiated, St. David's reserves the right to immediately terminate the responsible employee, subcontractor, volunteer, or other individual.

Violation of this Policy or Procedure

No or only partial adherence to this policy or procedure may result in noncompliance with current regulatory requirements and subsequent penalties to St. David's. Remediation for violators will include, but not be limited to, disciplinary action up to and including termination depending on the circumstances of the situation at the time.

Reference or Attachment:

ND: 4826-7308-1878, v1