

<b>Title:</b> Trainee Performance Management	<b>Policy Number:</b> GME-3
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**PURPOSE:** To establish a policy for all HealthPartners Institute-sponsored post-graduate medical/dental training programs (“Sponsored Programs”) to use in the formal evaluation of trainees’ performance, support for performance issues, and disciplinary actions.

This policy applies to all Sponsored Programs accredited by the Accreditation Council for Graduate Medical Education (ACGME), the Council on Podiatric Medical Education (CPME) and the Commission on Dental Accreditation (CODA). All information contained in this policy shall be used as the minimum criteria for evaluation. Additional evaluation criteria shall be delineated by each program in their respective Program Evaluation Policy.

**DEFINITIONS:**

Performance Management: The routine process of evaluating, coaching, and developing trainee skills.

Remediation: An intervention to address specific deficiencies and difficulties achieving progress in meeting expected performance standards.

Probation: A final intervention to address specific deficiencies and difficulties achieving progress in meeting expected performance standards. This is a formal level of academic or professional discipline.

**POLICY:**

**A. Trainee Performance Feedback**

Graduate Medical Education is a continuation of formal training after medical/dental school that prepares trainees for independent practice in their chosen specialty. Trainees learn on the job and feedback is key to aiding a trainee’s progress.

1. To keep all trainees apprised of their educational progress towards promotion, all Program Directors (or their designees) must formally evaluate the performance of each trainee at a minimum of six (6) month intervals. The competence and academic performance of the trainee will be evaluated by a careful and deliberate review, including documentation of the trainee’s performance, including areas for improvement, with respect to Core Competencies and/or Milestones. These evaluations shall be in writing, dated, and signed by both the Program Director and the trainee.
2. The program shall maintain a confidential record of all formal evaluations as part of the trainee’s file and be available upon request of the trainee.

3. At the conclusion or termination of training, a formal summation of trainee performance during the duration of training will be completed by the Program Director and maintained as permanent documentation of their participation in the program.
4. The Program Director shall be responsible for communicating their Program Evaluation policy to all trainees and faculty members.
5. Evaluations will be one of the tools utilized in determining promotion, as specified in GME-4: Trainee Promotion and Program Completion.

## **B. Remediation and Probation**

Trainees are expected to meet and adhere to academic, clinical, and professional standards set forth by the Institutional and Program Requirements, as well as the department. If a trainee displays a pattern of failing to satisfactorily meet the expected academic, clinical and/or professional standards (“Expected Performance Standards”), a more focused performance improvement approach will be necessary. This involves a structured performance improvement plan, outside of the program’s routine performance feedback and/or coaching process, which places the trainee on either Remediation or Probation. In most circumstances, the trainee will continue to perform their daily duties during this process.

### **1. Remediation**

The first step in this process is Remediation. Remediation is not a formal level of discipline. When Programs make the decision to place a trainee on Remediation, they must inform the trainee’s Human Resources representative.

- a. The Program Director shall inform the trainee in writing of the trainee’s underperformance related to the Expected Performance Standards and specify the deficiencies identified in the trainee’s academic, clinical, or professional performance as early as possible.
- b. Remediation requires a clearly described written plan, including the criteria and timeframe for successful completion of the Remediation.
- c. Remediation must be assigned for a specific period of time, not to exceed six (6) months in duration.
- d. Upon successful completion of Remediation, the trainee will be removed from Remediation status.
- e. If Remediation is not successfully completed by the trainee, either (a) the trainee will be required to repeat the Remediation for an additional period of up to six (6) months or (b) the Program Director will place the trainee on Probation (see below).
- f. Assignment of Remediation is not grounds for a trainee to request a Fair Hearing.

### **2. Probation**

If a trainee fails to meet the requirements set forth in the Remediation, they may be placed on Probation. In most circumstances, trainees should be placed on Remediation prior to being assigned to

Probation. Programs must consult with the trainee’s Human Resources representative prior to placing a trainee on Probation.

- a. The Program Director shall inform the trainee in writing of the decision to place them on Probation as early as possible. This letter must be copied to the Designated Institutional Official (DIO).
- b. Probation requires a clearly described written plan, including the criteria and timeframe for successful completion of the Probation.
- c. Probation must be assigned for a specific period of time, not to exceed six (6) months in duration.
- d. Upon successful completion of Probation, the trainee will be removed from this Probation status.
- e. If the Probation is not successfully completed either (a) the trainee will be required to repeat the Probation for up to an additional six (6) month period, or (b) the trainee will be terminated (see GME-14: Termination of Trainee policy).
- f. Assignment of Probation is grounds for a trainee to request a Fair Hearing. See GME-13: Fair Hearing.
- g. Programs must report Probation history in the training verification process, if it is requested.

**PROCEDURE:** See above.

**RELATED DOCUMENTS:** GME-4: Trainee Promotion and Program Completion; GME-13: Fair Hearing; and GME-14: Termination of Trainee.

**REFERENCE MATERIALS:** Not Applicable

**ADDITIONAL INFORMATION:** Not Applicable

**COMMITTEE/POLICY SPONSOR AND OWNER:** Graduate Medical Education Committee