

SALT LAKE COUNTY HUMAN RESOURCES POLICY & PROCEDURE
PERFORMANCE EVALUATIONS
and
CONTINUING EMPLOYMENT ELIGIBILITY CERTIFICATION

REFERENCE

County Personnel Management Act, Utah Code Annotated, 17-33
Human Resources Policies and Procedures:
 General Definitions
 Discipline
 Employment Status
 Leave Practices
 Grievance Procedure
 Resolution of Employee Complaint Procedure

POLICY

Salt Lake County's Performance Evaluation process is designed to enhance employee career development and growth. The performance evaluation and career development process is intended to be on-going throughout the year with frequent feedback, coaching, and counseling provided by the supervisor to the employee. The annual performance evaluation should be the culmination of that process.

The evaluation process shall also be used by administrators to verify continuing employment eligibility under special job certification requirements, professional/occupational licensure and/or County requirements for continued employment.

PURPOSE

The performance evaluation process serves the following purposes:

- * Ensures employees are aware of job expectations and provides a means of feedback to the supervisor.
- * Encourages employees and supervisors to talk about productivity and performance.
- * Gives supervisors a tool to recognize and document various expectations of work performance.
- * Justifies pay-for-performance increases.
- * Allows employees an opportunity to discuss career ambitions, desires, goals and concerns with their supervisors.
- * Helps determine training needs.
- * Assists supervisors in making appraisals for promotions, transfers and reassignments, etc.
- * Documents performance to assist in correcting poor performance or to terminate employees whose performance is unsatisfactory.
- * Provides information for use in identification of employees for reduction-in-force.
- * Verify continuing employment eligibility.

PROCEDURE

- 1.0 The Human Resources Division shall establish and effect a performance evaluation process, publish forms, and provide periodic training about the process.
- 2.0 It shall be the responsibility of each supervisor to prepare and conduct annual performance evaluations for each subordinate at the end of the rating period regardless of the employees' eligibility for pay-for-performance (merit) awards. Supervisors should also verify that the employee being evaluated has obtained and/or has maintained any and all required occupational licenses, professional licenses or certifications or other job requirements such as an operator's or commercial driver's license, social worker's license, etc. Evaluations should be completed by the supervisor on or before the employee's merit date to ensure that employees eligible for increases receive them as expected. Supervisors should also conduct interim evaluations when supervision changes.
 - 2.1 Probationary and rehired employees should be evaluated at the time they complete three (3) months and shall be evaluated at five (5) months of County service.
 - 2.1.1 The final probationary period performance evaluation is considered in the calculation of retention points.
 - 2.2 Reinstated employees shall be evaluated on their merit date.
 - 2.3 Supervisors are strongly encouraged to meet on a monthly basis with each person they supervise for additional coaching and feedback.
 - 2.4 The Human Resources Division will notify each Division Director regarding non-receipt of annual performance evaluations when those evaluations have not been received by Human Resources within 30 days of their due dates. Department Directors and Elected Officials will be notified of any evaluations which have not been received by the Human Resources Division within 60 days of their due dates. Following a 75 day period in which no evaluation is received, Human Resources will grant the merit increase based on the employee's most recent performance evaluation.
 - 2.4.1 The foregoing shall not be implemented when Human Resources has been notified of a pending grievance relating to work performance during the evaluation period or if the employee was physically unavailable to be evaluated during the 60 day period.
- 3.0 Performance evaluation ratings shall be: Exceeded Job Expectations, Met Job Expectations, and Did Not Meet Job Expectations.
 - 3.1 The different levels of performance evaluation ratings for individual expectations shall be 1.0 for Did Not Meet Job Expectations, 2.0 for Met Job Expectations, and 3.0 for Exceeded Job Expectations. Other numerical rating variations are prohibited except as provided in section 3.2. The total evaluation scores equate to:

* Exceeded Job Expectations	2.86 - 3.00
* Met Job Expectations	1.86 - 2.85
* Did not Meet Job Expectations	1.00 - 1.85

3.2 Departments and Elected Offices who wish to allow ratings of 1.5 and 2.5 for individual expectations (in addition to 1.0, 2.0 and 3.0) may do so by an approved Department or Elected Office policy. A copy of said policy shall be sent to the County Human Resources Director prior to the Department or Elected Office implementing such an alternative evaluation rating scale. Total evaluation scores from the use of alternative ratings shall still equate to:

- * Exceeded Job Expectations 2.86 - 3.00
- * Met Job Expectations 1.86 - 2.85
- * Did not Meet Job Expectations 1.00 - 1.85

3.3 When supervision changes during the evaluation period, the supervisor responsible for the annual performance evaluation should mark the Performance Expectation form in accordance with the performance of the employee during the time the employee has been under this supervisor's supervision. The supervisor should obtain all other interim evaluations given by other supervisors to the employee during the rating period. The scores should be pro-rated according to the number of weeks each evaluation represents. The formula for such a pro-rated score is: sum of (score for each evaluation multiplied by the number of weeks in the evaluation period) divided by 52.

The following is an example:

<u>Score</u>	<u>Number of Weeks</u>	<u>Total</u>
2.95	17	50.15
2.05	30	61.50
2.45	5	12.25
		123.90/52 = 2.38

In this example, the pro-rated score is 2.38.

If the evaluation score is pro-rated, the supervisor shall record the formula and results in a format similar to the above example in a MEMO to be attached to the annual ("regular") Performance Evaluation form. The annual Performance Evaluation form, memo and interim evaluation forms shall be forwarded to the Human Resources Division.

3.3.1 Divisions, Departments and Elected Offices may, by properly approved internal policy, provide for a method other than the one described above to ensure that employees are evaluated in a fair and consistent manner when supervision changes during an evaluation period.

4.0 Each year during the budgetary process the Council shall determine the percentage of merit/performance pay, if any, to be awarded merit employees who meet or exceed performance expectations.

4.1 Employees are first eligible for merit pay awards one year from their date of hire. They are then eligible for a merit increase on each succeeding merit date provided the employee was not in a leave-without-pay status (except for military LWOP or workers' compensation leave) for more than 6 months in the twelve (12) month period since the last merit date.

- 4.2 Employees who Did Not Meet Expectations shall not be eligible to receive a merit increase.
 - 4.3 Employees who Met Job Expectations shall receive the Council approved increase for the year.
 - 4.4 A permanent increase shall not be awarded in cases where it places the employee above the maximum of the pay range for the grade.
 - 4.5 Employees shall not receive a merit increase more than once per twelve month period.
- 5.0 The Council may fund longevity awards for merit employees. In those years when longevity awards are funded, the Council shall determine the appropriate longevity award amount to be awarded to qualifying employees.
- 5.1 Employees who meet or exceed performance expectations and who are at or above the maximum of their pay range are eligible for longevity awards.
 - 5.1.1 Otherwise eligible employees, who for brief periods of time, are paid at less than the pay range maximum due to rounding adjustments which occur during implementation of new general salary plans or adjustments to the pay structure in conjunction with merit increases, shall be considered to be at the pay range maximum.
 - 5.1.2 Employees are eligible for longevity awards provided the employee was not in a leave-without-pay status (except for military LWOP or workers' compensation leave) for more than 6 months in the twelve (12) month period since the last merit date.
 - 5.2 Longevity awards, if funded, shall be non-cumulative lump-sum awards paid in December of the year funded.
 - 5.2.1 Otherwise eligible employees must be employed or in a leave-without-pay status at the time the longevity awards are distributed.
 - 5.2.2 Longevity awards shall be a percentage of the employee's annual base salary.
 - 5.3 If a performance evaluation has not been completed within a 75 day period after the employee's anniversary date, Human Resources will grant the longevity award based on the employee's most recent performance evaluation.
 - 5.3.1 The foregoing shall not be implemented when Human Resources has been notified of a pending grievance relating to work performance during the evaluation period or if the employee was physically unavailable to be evaluated during the 60 day period.
- 6.0 If approved by the Council, merit employees may be granted a longevity increase but not more than once in a three year period. As used in this paragraph, "longevity increase" refers to a cumulative base pay increase; it does not refer to lump sum "longevity awards" or contributions to an employee's 401k account, as permitted in 5.0 above.
- 7.0 Employees should receive ongoing feedback, coaching and counseling on an informal basis during the rating period. Informal sessions should be periodically scheduled in addition to formal evaluations, not only to correct or improve job performance but to encourage, support and recognize excellent performance.
- 8.0 All supervisors shall be evaluated on their ability to supervise their subordinates. The supervisor's expectations shall include planning, assigning and reviewing work, hiring and promoting, training, discipline and termination. The supervisory portion of the

expectations should be weighted in excess of 15% of the overall weight.

- 9.0 Evaluations shall relate to actual job performance and the behaviors that affect that performance. They shall be based upon the current position description and the expectations developed by the supervisor. The employee should have input in the development of these expectations. Final responsibility for the expectations and the performance evaluations shall rest with the Administrator. The Administrator shall be accountable for the assignment of work and for the equity and reasonableness of the expectations and shall be the judge of their acceptability.
 - 9.1 Expectations and any subsequent modifications shall be prepared in writing by the supervisor. A copy shall be given to the employee.
 - 9.2 A copy of each employee's expectations shall be kept by the Supervisor and is subject to review by the Human Resources Division.
 - 9.3 Expectations shall be written for positions and particular tasks, not for the person. Employees with the same classification and tasks within a work unit should have the same expectations, although the time spent on the various tasks may vary according to job assignments.

- 10.0 Supervisors shall discuss evaluation ratings with employees and provide employees an opportunity to comment in writing. Employees should acknowledge receipt of the evaluation by signing the evaluation form, or the rating supervisor shall note refusal to sign.
 - 10.1 Employees who wish to provide additional written comments in regard to their evaluations, either in support of the rating or as a rebuttal, are free to do so and such comments, when submitted to their supervisor within 15 calendar days of the evaluation, shall be forwarded to the Human Resources Division Director to be placed in the employee's Personnel File (Official).

- 11.0 Employees who are rated Did Not Meet Expectations in a particular area shall be provided with a written corrective action plan by the supervisor and a copy of Human Resources Policy and Procedure: Grievance or Resolution of Complaints Procedure, as appropriate. The plan shall include the necessary actions to be taken by the employee and the time periods within which job performance is to be corrected. Employees not making sufficient progress may be subject to disciplinary action, which may result in termination.
 - 11.1 Employees who receive an overall Did Not Meet Job Expectations rating which they believe is not justified can file a grievance in accordance with the provisions of Human Resources Policy and Procedure: Grievance Procedure.

- 12.0 Supervisors shall complete and sign evaluation forms for employees supervised.
 - 12.1 The Administrator and any intermediate level supervisors deemed appropriate by the Division, Department or Elected Office shall approve and sign the evaluation form.
 - 12.1.1 These authorized administrators may, with justifiable cause, propose changes to ratings after consulting with the immediate supervisors and the employee. After consultation with the supervisor and the employee, the Administrator shall inform the employee in person regarding any changes made. If ratings are changed, a new Performance Evaluation form shall be completed, signed and submitted in lieu of the original Performance Evaluation form.

- 13.0 The Division, Department or Elected Office shall forward a copy of the completed Performance Evaluation form, including attachments, to the Human Resources Division by the due date, provide a copy to the employee, and retain a copy for their Division or Supervisor personnel file.
- 14.0 The Human Resources Division shall periodically monitor the performance evaluation system, ensure that administrators conduct performance evaluations in a timely manner and provide appropriate information and recommendations, as needed, to Divisions, Departments and Elected Offices.

APPROVED AND PASSED THIS 15TH DAY OF JULY, 2008

insert evaluation form

EMPLOYEE PERFORMANCE EVALUATION INSTRUCTIONS

JOB DESCRIPTION:	Review the employee's job description (CP6). Revise if necessary.
PERFORMANCE EVALUATION:	<p>List the expectations on the performance evaluation form on the lines provided.</p> <p>Weight each expectation, referring to time indicated for each relevant task in the job description. You may adjust the weights, based on importance: Total weights must total 100.</p> <p>Rate each expectation according to how the employee's actual performance compares to the employee's performance expectations. Ratings should correspond to performance expectations previously established. Supervisors should have at least 15% of their evaluation score relate to performance regarding their supervisory expectations.</p> <p>Did not meet expectations (1) or (1.5) = Failed to meet the agreed-upon expectations.</p> <p>Met expectations (2) or (2.5) = Consistently met the agreed-upon expectations.</p> <p>Exceeded expectations (3) = Far exceeded agreed-upon expectations.</p> <p>Comments should include "Actual Results" for any tasks rated exceeded expectations or did not meet expectations, as well as the employee's strengths and weaknesses.</p>
TRAINING	Identify specific skills, knowledge or abilities which would assist the employee in NEEDS : the current position or for future promotions Training could include on-the-job training, formal classroom training, workshops, self-study, etc. For example: typing accuracy, accounting methods, supervisory skills, County policies, etc.
PERFORMANCE EXPECTATIONS FOR NEXT RATING PERIOD:	Identify specific expectations for employee for the next rating period.
CONTINUING EMPLOYMENT ELIGIBILITY CERTIFICATION	Review and verify that the employee has maintained or obtained all required occupational/professional licenses, such as a Social Worker's license, certifications, or other job requirements, such as an operator's or commercial drivers license (CDL).
SIGNATURES:	Employee, supervisor, and division director should sign the form. A blank line is provided for any intermediate level supervisor required in a particular agency. Review levels beyond the supervisor can make changes in the rating only after joint consultation with the employee and the supervisor.
INTERIM EVALUATIONS:	Interim evaluations should be conducted on a monthly or quarterly basis to provide the employee feedback on his or her performance. A separate form should be completed for each interim evaluation. Interim evaluations are maintained at the Agency; do not forward them to Human Resources.