

## **CHAPTER 8 \***

### **PERFORMANCE PLANNING AND APPRAISAL**

<b>PURPOSE AND INTENT .....</b>	<b>1</b>
<b>8.0 ADMINISTRATION.....</b>	<b>1</b>
<b>8.1 COVERED EMPLOYEES .....</b>	<b>1</b>
<b>8.2 GENERAL POLICY STATEMENT .....</b>	<b>1</b>
<b>8.2.01 Department Director Responsibilities</b>	
<b>8.2.02 Supervisor Responsibilities</b>	
<b>8.2.03 Employee Responsibilities</b>	
<b>8.3 PERFORMANCE APPRAISAL SYSTEM.....</b>	<b>2</b>
<b>8.3.01 Appraisal Period</b>	
<b>8.3.02 Types of Appraisals</b>	
<b>8.3.03 Appraisal Categories</b>	
<b>8.3.04 Appraisal Ratings</b>	
<b>8.4 EMPLOYEE RESPONSE TO APPRAISAL.....</b>	<b>3</b>
<b>8.5 UNSATISFACTORY PERFORMANCE.....</b>	<b>4</b>
<b>8.6 MERIT PAY PROGRAM .....</b>	<b>4</b>
<b>8.7 PROJECT, TEAM, AND OTHER BONUSES.....</b>	<b>5</b>

*\*HR Policy Handbook, Chapter 8–Performance Planning &Appraisal,  
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**CHAPTER 8**  
**PERFORMANCE PLANNING AND APPRAISAL**

**Purpose:** The purpose of this Chapter is to describe the personnel policies governing the County's system for appraising and rewarding employee performance.

**8.0 ADMINISTRATION**

The County Administrator is authorized to administer this Chapter, including developing written procedures to administer the requirements outlined herein.

**8.1 COVERED EMPLOYEES**

All probationary and regular County employees in classified positions are covered by this policy as described herein.

**8.2 GENERAL POLICY STATEMENT**

The Board of Supervisors is committed to fostering employee excellence and a high-performance workplace. To that end, covered employees shall be regularly appraised on the performance of job duties/competencies and the demonstration of skill in the County's core competencies. In accordance with the County's policies on Equal Employment Opportunity, all employees shall be appraised solely on objective performance based factors and without regard for the employee's membership in any protected category.

**8.2.01 Department Director Responsibilities**

Department Directors are responsible for ensuring that supervisors plan and appraise job performance for employees in their departments in accordance with this policy and any applicable Human Resources Administrative Policies and Procedures. Moreover, Department Directors are responsible for ensuring that supervisors timely address incidents of non-performance or substandard performance in their departments in accordance with this Chapter and Chapter 10.3, Discipline of Regular Employees for Unsatisfactory Performance, where applicable.

### **8.2.02 Supervisor Responsibilities**

Supervisors shall establish and communicate clear performance expectations for their employees and shall provide regular feedback to employees on their performance. Supervisors are required to complete an annual appraisal for each employee in accordance with this Chapter and any applicable Human Resources Administrative Policies and Procedures. Moreover, supervisors are responsible for ensuring that incidents of non-performance or substandard performance are timely addressed in accordance with this Chapter and Chapter 10.3, Discipline of Regular Employees for Unsatisfactory Performance, where applicable.

### **8.2.03 Employee Responsibilities**

Employees are expected to perform their job at a “Fully Successful” level or above and to receive an overall rating of “Fully Successful” or higher on the annual appraisal. Employees who have a disability covered by the Americans with Disabilities Act (ADA) are expected to perform the essential functions of their job with or without a reasonable accommodation. Employees who need a reasonable accommodation to meet their job requirements should request one as soon as practical after the need for such an accommodation arises. Requests for a reasonable accommodation shall be submitted directly to Human Resources in accordance with applicable Human Resources Administrative Policies and Procedures.

## **8.3 PERFORMANCE APPRAISAL SYSTEM**

### **8.3.01 Appraisal Period**

The performance appraisal period shall align with the County’s fiscal year. The appraisal period shall not be adjusted as a result of the employee’s use of any form of approved medical leave, with or without pay. Employees who were on approved medical leave during the performance appraisal period shall be evaluated on the work performed for the County during the period the employee was not on leave.

### **8.3.02 Types of Appraisals**

#### **a) Annual Appraisal:**

An annual appraisal is a required written evaluation of the employee’s job performance for the full performance appraisal period. Annual appraisals shall be completed by the supervisor at the end of each appraisal period. Annual appraisals shall become part of the employee’s Official Personnel File.

**b) Interim Performance Appraisals:**

An interim appraisal is an optional written evaluation of the employee's job performance covering a portion of the performance appraisal period. The supervisor may conduct an interim appraisal at any time during the appraisal period for any reason. Interim appraisals shall be considered by the supervisor in completing the annual performance appraisal.

**8.3.03 Appraisal Categories**

Employees shall be annually appraised on the following aspects of their job performance, to include ratings and written narrative feedback:

1. The performance of job duties.
2. The demonstration of skill in the County's core competencies as established by the County Administrator or designee.

**8.3.04 Appraisal Ratings**

The County shall utilize a three-tier rating scale: "Does Not Meet Expectations," "Fully Successful," and "Exceeds Expectations," or the equivalent. The three-tier scale shall be used by the supervisor to rate the employee on the assigned job competencies and the County's core competencies. The supervisor shall also provide an overall rating on the employee's appraisal. An employee's use of approved medical leave shall not be considered in rating the employee's performance. In addition to the job and core competency ratings, and the overall rating, the supervisor shall provide the employee with written narrative feedback.

**8.4 EMPLOYEE RESPONSE TO APPRAISAL**

An employee who receives an overall rating of "Does Not Meet Expectations" on the annual performance appraisal may submit a written statement to the Department of Human Resources (not to exceed three pages in length), which shall be included in the employee's Official Personnel File. The content of performance appraisals, including written narrative feedback, ratings, or the amount of any performance based increase or bonus, are not subject to the County's grievance procedure.

## **8.5 UNSATISFACTORY PERFORMANCE**

The supervisor shall address specific incidents of unsatisfactory performance or non-performance of job duties throughout the performance appraisal period. The supervisor may issue disciplinary action in accordance with Chapter 10.3 or utilize other performance management tools available under the Human Resources Administrative Policies and Procedures. Repeated incidents or serious incidents of unsatisfactory performance or non-performance of job duties shall also be addressed by the supervisor in the employee's annual performance appraisal.

Supervisors are required to consult with Human Resources **prior** to delivering an appraisal to an employee with an overall rating of "Does Not Meet Expectations" or a rating of "Does Not Meet Expectations" in one or more job competencies or two or more core competencies. Human Resources will work with the supervisor to ensure that sufficient documentation exists to support the ratings in the appraisal. Examples of supporting documentation include, but are not limited to: 1) any related counseling or discipline delivered during the current or immediately previous performance appraisal period; 2) any performance improvement plans delivered to the employee during the current or immediately previous appraisal period; 3) any previous record of less than successful performance on an interim assessment during the current or immediately previous performance appraisal period; and/or 4) any previous record of less than successful performance on the annual performance appraisal for the immediately previous performance appraisal period. Human Resources approval is **required prior to** delivering an appraisal to an employee with an overall rating of "Does Not Meet Expectations."

## **8.6 MERIT PAY PROGRAM**

Annual salary increases and/or bonuses administered in accordance with this policy shall be delivered under a Merit Pay program, structured to reward employees who achieve an overall rating of "Successful" on the annual performance appraisal. Each year the Board of Supervisors shall determine the level of funding for the Merit Pay program, if any.

Only regular employees and probationary employees are eligible to receive salary increases and/or bonuses in accordance with the Merit Pay program. To receive a salary increase and/or bonus under the program, the employee must achieve an overall rating of "Fully Successful" or higher on the annual or interim performance appraisal. The County Administrator shall determine a date of hire "cutoff" for eligibility to receive a salary increase or bonus under the program. Employees' base salaries shall not exceed the maximum of the classified payband unless the position is approved to receive a market adjustment. Temporary employees are not eligible for annual salary increases or bonuses under the Merit Pay program.

**8.7 PROJECT, TEAM, AND OTHER BONUSES**

In accordance with Chapter 7, Employee Development and Awards, the County Administrator may create and implement employee recognition and incentive programs, including, but not limited to, project, team, and other bonuses. The most recent performance appraisal of regular employees must be at the “Fully Successful” level or above to receive such bonuses. Probationary and temporary employees are eligible to receive such bonuses at the discretion of the Department Director.