

HUMAN RESOURCES DEPARTMENT

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Date: April 28, 2015
To: Dee F. Bruemmer, County Administrator
From: Mary J. Thee, Human Resources Director/Asst. County Administrator
Subject: Policy Updates

We have been working on changes to the Performance evaluation process. Last fall the leadership group read the book Thanks for the Feedback. During the discussion we agreed that it was long overdue to reevaluate our process. We started by surveying all employees to obtain their feedback on the process. We then met with supervisors from department's to discuss the results and brainstorm possible changes. Following that meeting we broke into three smaller groups to focus on the details of any changes. Those results were then drafted into policy changes, taken back to the supervisor group and eventually shared with the Department Heads. Here is a summary of some of the changes:

Policy DD

- 1) Language was added to paragraph 1 indicating that some departments may set work rules on dependability.
- 2) The new language in ¶2 was moved from old ¶5 for better flow
- 3) Old ¶5 was moved to the end. It was discussed that it better flows in Policy F, but left here for reference.
- 4) ¶5 added language to clarify that the practice of tipping over 6 shifts starts the warning process

Policy F

- 1) Throughout the policy "objectives" was changed to "goals" and "key areas" to "competencies" to reflect our terminology
- 2) Page F-2 language was changed to clarify that an employee signature merely indicates they met on the evaluation with the supervisor
- 3) Page F-3 added language on goal development
- 4) Page F-5 added the Attendance rating guide
- 5) Page F-7 revised when a PIP should be considered
- 6) Page F-10 allows for someone with a score of 3-3.49 to be eligible for an increase

Additionally the group agreed to some additional descriptive language on the actual performance evaluation form. These recommended changes will be implemented this summer for non-represented employees. We'll have discussions with the union groups about the changes to determine if and when it will be implemented.

DD. ATTENDANCE

GENERAL POLICY

Regular work attendance is one measure of an employee's reliability and dependability. Although an absence may be necessary on occasion, such absences cause work interruption, place greater demands on other employees and increase County expense. This policy is established to specify County attendance standards and expectations.

SCOPE

This policy is applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a county elected office holder providing the appropriate elected office holder and the Board of Supervisors have certified its applicability;

All employees not directly responsible to the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors have certified its applicability.

Whenever the provisions of this policy are in conflict with the Code of Iowa, or with a collectively-bargained agreement between the County and a certified bargaining unit, the provisions of the collectively-bargained agreement and/or the Code of Iowa will prevail.

PROVISIONS

1. Regular and prompt attendance is a condition of employment. Due to the nature of the work, departments may establish standards for tardiness and address the dependability of employees who fail to meet those standards. Failure to maintain good attendance will result in disciplinary action. If an absence is necessary for any reason it should be authorized in advance or, if advance authorization is not possible, notice should be given to the immediate supervisor as early as possible, prior to the start of the work shift. Employees must follow their department protocol for reporting absences.
2. An absence is any time missed from a scheduled work day except for approved leaves of vacation, funerals, jury duty, work related injury, lack of work, military training or other leave provided by law. Absences for a consecutive time period for medical or personal leave related to an extended illness would count as one absence. Absences for partial days will be cumulative with each shift equivalent counted as one absence.

3. Unpaid personal leave is counted as an absence from work since it is beyond allocated leave time, even if scheduled in advance.
4. Employee attendance is reviewed periodically and excessive absence will be cause for disciplinary action.

~~5. Attendance will be rated in accordance with Scott County's Performance Appraisal system. Supervisors will refer to the following standards over a 12-month period:~~

~~Rating Measure~~

~~(5) Exceptional Performance 0 or 1 absence~~

~~(4) Exceeds Expectations 2 or 3 absences~~

~~(3) Meets Expectations 4 or 5 absences~~

~~(2) Improvement Desired 6 absences~~

~~(1) Unsatisfactory Performance 7 or more absences~~

~~Consecutive absences for medical or personal leave will be rated by the number of occurrences rather than the number of days absent so that an extended illness would count as one absence. Absences for partial days will be cumulative with one absence counted for each one-shift equivalent.~~

~~6.5.~~ Although there may be legitimate reasons for repeated absence from work, regular and prompt work attendance is a factor of performance and is required for continued employment. Employees with excessive absences will be provided guidance and opportunities for correction in accordance with the following schedule, ~~however, continued~~ failure to meet attendance standards ~~could will~~ result in termination of employment.

Verbal Warning - Employees with more than 6 absences (i.e. the equivalent of 6 shifts plus any additional partial day or more), in a 12 month period, will first be given a verbal warning that their attendance must meet County standards or be subject to disciplinary action.

Written Warning - Employees with more than three absences, in the 6 month period following a verbal warning will be given a written warning and a six month probationary period.

Suspension - Employees with more than one absence in any 30-day period, or more than 3 absences total, during the six-month probationary period following a written warning will be given a suspension and final warning.

Termination - Employees with any absence during the six months following a suspension and final warning will be subject to termination from employment.

~~7.6.~~ Employees are permitted to use accrued vacation leave or other paid leave in lieu of unpaid sick leave.

~~8.7.~~ Paid vacation time is earned as part of work compensation and is accrued. Vacation leave should be scheduled at least 24 hours in advance and is subject to workload and availability of replacement workers. Vacation not scheduled in advance will be counted in accordance with this policy.

~~9.8.~~ An employee, who misses three consecutive days of work due to an illness or injury, may be required to provide medical documentation substantiating the absence.

~~10.9.~~ An employee who continually refuses to perform according to County policy will be considered to have forfeited the opportunity for guidance and correction.

~~10.~~ ~~11.~~—Any employee who fails to report for two consecutive days of unexcused absence will be considered to have abandoned the position. Employment will be terminated as of the last day worked.

11. Attendance will be rated in accordance with Scott County's Performance Appraisal Policy F. The following provides a summary of the expected standards over a 12-month period.

<u>Rating</u>	<u>Measure</u>
<u>(5) Exceptional Performance</u>	<u>0 or 1 absence</u>
<u>(4) Exceeds Expectations</u>	<u>2 or 3 absences</u>
<u>(3) Meets Expectations</u>	<u>4 or 5 absences</u>
<u>(2) Improvement Desired</u>	<u>6 absences</u>
<u>(1) Unsatisfactory Performance</u>	<u>7 or more absences</u>

F. PERFORMANCE APPRAISAL AND DEVELOPMENT SYSTEM

GENERAL POLICY

It is the policy of Scott County to regularly evaluate the work performance of its employees and provide them with relevant feedback to enable improvements to their effectiveness and efficiency as County employees. In addition, a regular employee eligible under this policy may receive a salary adjustment in accordance with the outcome of his/her individual performance appraisal.

SCOPE

This policy is applicable to the following:

All employees responsible to the Scott County Board of Supervisors;

All employees responsible to a county elected office holder, with the exception of the elected office holder themselves and Deputies;

All employees not directly responsible to either the Board of Supervisors or an elected office holder and whose governing body and the Board of Supervisors have certified its applicability.

Whenever the provisions of this policy are in conflict with the Code of Iowa, or with a collectively-bargained agreement between the County and a certified bargaining unit, the provisions of the collectively-bargained agreement and/or the Code of Iowa will prevail.

PURPOSE OF PERFORMANCE APPRAISAL SYSTEM

The County's performance appraisal system represents an important part of the employee's work experience. The intent of the system is to not only assess performance periodically, but to provide an opportunity to establish future individual ~~and/or organizational goals~~ objectives, and thus further clarifying management's expectation and direction for the employee.

The County also recognizes the importance of encouraging the recruitment and retention of highly-qualified, competent and productive employees. To that end, the performance appraisal system will provide a method for determining individual salary adjustment based on the employee's

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documented record of performance on the job.

PROCEDURE FOR EVALUATING PERFORMANCE

Each employee will be evaluated upon completion of the first six and twelve months in a new position and yearly thereafter. Departments may wish to schedule more frequent reviews, either formal or informal, depending upon the need. Salary adjustments will, however, only be available at the identified milestones of six months, twelve months and annually thereafter.

The completed performance appraisal for each employee shall be electronically signed by the performance rater and by the employee being evaluated. The employee signature merely indicates that a discussion was held with the performance rater. If the employee disagrees with the evaluation, he/she may comment ~~and/or submit a statement of exception~~ in the designated area a on the evaluation and/or submit a statement of exception for placement in the personnel file.

~~In the event an adjustment in salary is recommended-warranted (see section below entitled "Salary Adjustment Guide"), the Human Resources Department will process one based on the "Attendance Ratings" below. the department head shall sign a Human Resources Requisition form recommending the appropriate adjustment. When both the signed Human Resources Requisition and completed performance appraisal are received by Human Resources the appropriate salary adjustment will be processed.~~

~~Recommended salary adjustments shall be reviewed by the Human Resources Director and the County Administrator prior to formulation of a recommendation for consideration by the Board of Supervisors.~~

APPRAISAL FORMAT

Upon hire or promotion to a new position, each employee will be oriented to the criteria that will be used to assess job performance. Upon completion of six months, twelve months and annually thereafter of service in the position, the incumbent's work performance will be evaluated by their immediate supervisor. Appraisal forms are generated from the County's web based performance appraisal system administered by the Human Resources Department.

An important part of the review is the employee's completion of a self evaluation which is an opportunity to provide their insight into their

performance and goal progress over the review period. Once completed the employee's supervisor receives an electronic copy of this document for consideration. The manager is responsible for completing the employee's performance review. In addition to assessing the employee's job performance in key ~~areas-competencies~~ the manager is tasked with the creation of several specific ~~objectives-goals~~ for the employee to accomplish over the next review period. The initial ~~objectives-goals~~ are set at the employee's six month review. The ~~objectives-goals~~ may be targeted to meet personal, professional or organizational needs. The source of the ~~objectives goals~~ will be the employee and the supervisor, but the final selection and prioritizing will be the responsibility of the supervisor.

~~Objectives—When establishing goals supervisors~~ should take into consideration the employee's role in meeting ~~budgeting for outcomes objectives,~~ departmental ~~goals~~ or County-wide goals, ~~so as to align the goals.~~ ~~They-Additionally goals~~ may ~~also~~ relate to ~~specific skills set forth in the job description, career development,~~ improving an employee's professional competence or reflect a required improvement in an employee's ~~skill or~~ past performance level. ~~Human Resources staff will assist supervisors in drafting specific goals for individuals.~~

Performance appraisals influence salaries, promotions and transfers so it is critical that supervisors provide objective, accurate and thorough information when completing performance reviews and assigning ratings. If an employee has been subject to disciplinary action within the time period preceding their performance evaluation numerical ratings on the evaluation should accurately reflect the action taken and any subsequent improvements.

NUMERICAL RATING GUIDELINES

County department heads and elected officials as well as the Human Resources Department will periodically review dashboard ratings within the County's web based performance appraisal system to ensure consistency of ratings on a County-wide basis. Raters shall adhere to the following guidelines in assigning numerical ratings:

Rating Code

Guideline

5

Indicates exceptional performance. Ratings of 5.0 shall be reserved for those areas in which the employee is performing at a level that is marked by excellence, efficiency, innovation and documented

work results. Generally, a rating of exceptional indicates that the employee is performing well beyond the department's expectations on a continuing basis. Such ratings must be backed up by specific examples of the employee's accomplishments during the rating period.

4 Exceeds Expectations. Ratings at 4.0 indicate that the employee consistently meets departmental standards and very often exceeds them. Generally, a rating of exceeds expectations means that the employee's performance is well above satisfactory, that he/she frequently goes beyond ordinary efforts to do a superior job, and achieves all performance objectives established for his/her position. Examples of projects completed and/or exemplary performance should accompany ratings of 4.0 or above.

3 Meets Expectations. Ratings at 3.0 indicate the employee is meeting the department's expectations and is performing at a satisfactory level. Generally, while a rating of meets expectations means that the quality and quantity of work produced by the employee is acceptable to the department, improvements in work performance are possible.

2 Improvement Desired. Ratings at 2.0 indicate that the employee is performing at a level that is considered below satisfactory by the department. Generally, a rating of ~~2.0~~improvement desired means that the employee occasionally ~~may fails~~ to complete work assignments in a satisfactory or timely manner. Such ratings also may indicate a lack of initiative and/or the need for frequent intervention by the supervisor in order to keep the employee in a productive mode. Specific examples of marginal performance should be cited.

1 ~~Indicates u~~nsatisfactory performance. Ratings at 1.0 indicate that the employee is performing at a level that requires immediate improvement for his/her continued employment. Generally, a rating of unsatisfactory performance means that the employee consistently fails to complete assignments

in a satisfactory manner and has been unresponsive to prior warnings by supervision. Such ratings must be backed up by specific examples of the employee's actions during the rating period and recommendations for improvement.

ATTENDANCE RATINGS

Supervisors will review the employee's sick leave usage over a 12-month period and rate the employee in accordance with this scale.

<u>Rating</u>	<u>Measure</u>
<u>(5) Exceptional Performance</u>	<u>0 or 1 absence</u>
<u>(4) Exceeds Expectations</u>	<u>2 or 3 absences</u>
<u>(3) Meets Expectations</u>	<u>4 or 5 absences</u>
<u>(2) Improvement Desired</u>	<u>6 absences</u>
<u>(1) Unsatisfactory Performance</u>	<u>7 or more absences</u>

WRITTEN COMMENTS

One of the primary purposes for conducting a performance appraisal is to provide the employee with relevant feedback regarding his/her performance on the job. To that end, raters are required to include written comments to support numerical ratings. Although the performance appraisal system may provide a writing assistant, the supervisor is expected to provide relevant comments regarding the individual's performance.

In those categories in which the employee is rated highly, the rater should identify examples of good performance and provide the employee with positive feedback to encourage the employee to maintain or exceed his/her current performance level during the next rating period.

In those categories in which the employee receives low ratings, the rater should identify examples of past poor performance and provide constructive criticism-feedback for the employee to improve his/her performance during the next rating period.

BONUS

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In an effort to reward long term Scott County employees who have shown exemplary performance, and the ability to exceed expectations on previously set goals, the following bonus program shall be implemented. To be eligible for a bonus an employee must meet the following standards.

Length of service

Non-represented employees must be at 115% of scale at the scheduled time of the review. Represented employees must have completed 10 years of service at the scheduled time of the review.

Attendance

Employees must receive a rating of 4 or higher ~~as outlined in Scott County's Attendance Policy and Numerical Rating Guidelines found in this policy.~~

Performance

Employees must receive an average rating of 4 or higher on the "Performance In Key ~~Areas~~Competency" section of the Scott County Performance Appraisal and Development ~~toolform.~~

~~Objectives /~~Goals

Employees must receive an average rating of 4 or higher on the ~~Objectives /~~Goals section of the Scott County Performance Appraisal and Development ~~toolform.~~ These ~~objectives /~~goals will be established by department supervisors during the Performance Appraisal process.

Bonus Level

Employees who are able to meet all the standards as outlined will receive a \$500.00 bonus. The Scott County Board of Supervisors ~~will~~may evaluate the feasibility of the bonus system on an annual basis.

The County recognizes the need for complete, accurate and timely assessments of employee performance and will make every effort to ensure that its supervisors make employee feedback and performance appraisals a priority. Timely submission of performance appraisals is required of all supervisors. In the event employee evaluation(s) are overdue by 30 days or more, a management employee's merit increase or bonus will be withheld or reduced until such time that they have completed their subordinate's appraisal. If the supervisor would have been eligible for a merit increases

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and is overdue on subordinate evaluations, the eligible merit increase shall not take effect until the evaluations are completed and will not be made retroactive to the management employee's anniversary date. If the supervisor would have been eligible for a bonus and is overdue on subordinate evaluations the bonus shall be delayed and be reduced by \$100.00 for every 30 days it takes the management employee to complete the overdue evaluations.

Part time eligible (.50 FTE - .99 FTE) employees will be eligible for a bonus on a prorated basis.

SALARY ADJUSTMENT GUIDE

Individual salary adjustments are tied directly to the results of the performance appraisal.

Normally, an employee's average appraisal score is converted to a percent increase (or decrease) in salary as provided herein. However, any employee who receives a rating of 2.0 (improvement desired) or below on three or more key performance appraisal categories should be considered for placement on a performance improvement plan all not be eligible for a salary increase—regardless of his/her overall average appraisal score. ~~Otherwise, the provisions that follow will apply.~~

At the initial six month review following hire or promotion, the employee's salary will be adjusted five (5) percent if the employee's salary level does not exceed 95% of midpoint and the employee's average appraisal score is 3 or better.

Following the employee's annual appraisal, or at any time when the employee's salary level exceeds 95% of midpoint, subsequent salary adjustments shall be based on the employee's average appraisal score in accordance with the conversion tables that follow this section. Under no circumstances will the adjusted salary exceed the maximum in relevant salary range.

Any recommendation for an increase in salary based on performance when an employee is at 105% of salary range midpoint or above shall be documented in writing and shall include specific factual justification for the increase. Such recommendations must be approved by the department head and the Human Resources Director prior to implementation. If, in the opinion of the Human Resources Director, a performance review is insufficiently documented, it may be returned to the department for more

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complete, concise information. Implementation of proposed salary adjustments shall be suspended until complete justification is provided as prescribed herein.

CONVERSION TABLE - SALARY BELOW 105% OF MIDPOINT

APPRAISAL SCORES TO SALARY ADJUSTMENT

<u>AVERAGE SCORE</u>	<u>SALARY ADJUSTMENT</u>
4.75 through 5.00	5.0%
4.50 through 4.74	4.5%
4.25 through 4.49	4.0%
4.00 through 4.24	3.5%
3.75 through 3.99	3.0%
3.50 through 3.74	2.5%
3.25 through 3.49	2.0%
3.00 through 3.24	1.5%
2.00 through 2.99	0%
1 through 1.99	(-1.5%)

() denotes reduction in current salary.

CONVERSION TABLE - SALARY AT 105% OR ABOVE

APPRAISAL SCORES TO SALARY ADJUSTMENT

AVERAGE SCORE

SALARY ADJUSTMENT

4.75 through 5.00

5.0%

4.50 through 4.74

4.0%

4.25 through 4.49

3.0%

4.00 through 4.24

2.0%

| 3.~~0050~~ through 3.99

1.0%

| ~~3.00 through 3.49~~

~~0.00%~~

2.00 through 2.99

(-1.00%)

1 through 1.99

(-2.00%)

() denotes reduction in current salary.

THE COUNTY AUDITOR'S SIGNATURE CERTIFIES
THAT THIS RESOLUTION HAS BEEN FORMALLY
APPROVED BY THE BOARD OF SUPERVISORS ON

DATE

SCOTT COUNTY AUDITOR

RESOLUTION

SCOTT COUNTY BOARD OF SUPERVISORS

May 7, 2015

APPROVING HUMAN RESOURCES POLICIES F and DD

BE IT RESOLVED BY the Scott County Board of Supervisors as follows:

Section 1. That Human Resources Policy F "Performance Appraisal and Development System" updates the policy by modifying terminology, clarifying meaning of signatures, addressing goal development and wage scale for non-represented staff.

Section 2. That Human Resources Policy DD "Attendance" updates the policy by clarifying tardiness and when disciplinary action is warranted.

Section 3. This resolution shall take effect immediately.