

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 so long as an overall score of three (3) or better is achieved on his/her 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 goals, thus further clarifying management's expectation and direction for the employee.

PROCEDURE FOR EVALUATING PERFORMANCE

Departments will be required to complete formal check-in with the employee

upon completion of the first six (6) months in the new position. Each employee will then be evaluated at twelve (12) months and then annually thereafter on their position anniversary date. Departments may wish to schedule more frequent reviews, either formal or informal, depending upon the need.

Salary adjustments will occur on the employee's anniversary date upon attaining an overall score of three (3) or better until the grade maximum is reached. 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 a discussion was held with the performance rater. If the employee disagrees with the evaluation, he/she may comment in the designated area on the evaluation and/or submit a statement of exception for placement in the personnel file.

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 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 competencies the manager is tasked with the creation of several specific goals for the employee to accomplish over the next review period. The initial goals are set at the employee's six (6) month check-in and will be evaluated at the one (1) year appraisal. The goals may be targeted to meet personal, professional or organizational needs. The source of the goals will be the employee and the supervisor, but the final selection and prioritizing will be the responsibility of the supervisor.

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. Additionally goals may 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 past performance level. Human Resources staff may 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 his/her 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:

<u>Rating Code</u>	<u>Guideline</u>
5	Indicates exceptional performance. The employee's performance far exceeds expectations due to exceptionally high quality of work performed in all essential areas of responsibility and the quality and consistency of work is superior. Ratings of 5.0 shall be reserved for those areas in which the employee is performing at a level marked by excellence, efficiency, innovation and documented work results. Generally, a rating of exceptional indicates the employee is performing well beyond the department's expectations on a continuing basis. Ratings must be backed up by specific examples of the employee's accomplishments during the rating period such as a completion of a major or critical project or a making an exceptional contribution to the department.
4	Exceeds Expectations. Ratings at 4.0 indicate the employee consistently exceeds department expectations in all essential areas of responsibility and the quality and consistency of work overall was excellent. Generally, a rating of exceeds expectations means the employee's performance is well above satisfactory, 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 consistently meeting department expectations in all essential areas of responsibility and the quality and consistency of work overall is good. Generally, a rating of meets expectations means the employee has regularly completed work assignments and completed or made reasonable progress towards projects and goals.
- 2 Improvement Desired. Ratings at 2.0 indicate the employee's performance is not consistently meeting department expectations and/or failed to meet expectations in one or more of the essential areas of responsibility. Generally, a rating of improvement desired means the employee occasionally fails to complete work assignments in a satisfactory or timely manner or may have missed critical goals in the year. 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 and a plan for improvement noted. If an employee receives an overall score below three (3), a performance improvement plan, with reasonable timelines, must be attached and submitted to the Human Resources Department. Progress must be monitored and measured.
- 1 Unsatisfactory performance. Ratings at 1.0 indicate the employee's performance is consistently below expectations in most of the essential areas of responsibility and requires immediate improvement for continued employment. Generally, a rating of unsatisfactory performance means 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. The department must notify the Human Resources Department immediately if an employee receives an overall rating of two (2). A plan to correct performance, with reasonable timelines, must be outlined and monitored to measure progress.

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.

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

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 feedback for the employee to improve his/her performance during the next rating period.

SALARY ADJUSTMENT GUIDE

Employees are eligible for annual step increases until grade maximum is reached provided an overall score of three (3) or better is achieved on the employee's annual performance appraisal. If an overall score of three (3) is not achieved, the employee will remain at the current step and may not advance to the next step until the following appraisal period. If an employee successfully completes their PIP in six (6) months they will be eligible to receive the missed step at that time.