

## 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 objectives, and thus further clarify 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 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 signed by the performance rater and by the employee being evaluated. If the employee disagrees with the evaluation, he/she may comment and/or submit a statement of exception in the designated area on the evaluation.

In the event an adjustment in salary is recommended (see section below entitled "Salary Adjustment Guide"), 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 the manager is tasked with the creation of several

specific objectives for the employee to accomplish over the next review period. The initial objectives are set at the employee's six month review. The objectives may be targeted to meet personal, professional or organizational needs. The source of the objectives will be the employee and the supervisor, but the final selection and prioritizing will be the responsibility of the supervisor.

Objectives should take into consideration the employee's role in meeting departmental or County-wide goals. They may also relate to improving an employee's professional competence or reflect a required improvement in an employee's skill or past performance level.

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:

<u>Rating Code</u>	<u>Guideline</u>
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 means that the employee occasionally may fail 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 unsatisfactory 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 means that the employee consistently fails to complete assignments in a satisfactory manner and has been unresponsive to prior warnings by supervision.

### **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.

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

## **BONUS**

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*" section of the Scott County Performance Appraisal and Development tool.

### **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 tool. 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 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 increase 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 shall 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 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

<u>AVERAGE SCORE</u>	<u>SALARY ADJUSTMENT</u>
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%
3.50 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.