

DOUGLAS COUNTY

CIVIL SERVICE COMMISSION HUMAN RESOURCES DEPARTMENT

PERFORMANCE APPRAISAL MANUAL

(Supervisory Employees)

TABLE OF CONTENTS

<u>ITEM</u>	<u>DESCRIPTION</u>	<u>PAGE(S)</u>
Section I	Introduction	1-2
Section II	Preparation for Appraisal Process and Sequence of Appraisal	2
Step One	Preparation and Gathering	3
Step Two	Completion of Form	3-6
<i>Section A</i>	<i>Computer Label</i>	3
<i>Section B</i>	<i>Type and Time Period</i>	4
<i>Section C</i>	<i>Instructions</i>	5
<i>Section D</i>	<i>Rating Scale</i>	5
<i>Section E</i>	<i>General Factors</i>	5
<i>Section F</i>	<i>Accountabilities</i>	6
<i>Section G</i>	<i>Performance That May Hinder Future Development</i>	6
	<i>Performance Goals</i>	6
<i>Section H</i>	<i>Contribution to County</i>	7
<i>Section I</i>	<i>Overall Rating</i>	7
Step Three	Review (Elected Official/Department Head)	7
Step Four	Performance Appraisal Conference	7-8
Step Five	Review by Director of Human Resources (distribution)	8-9
Section III	Summary	9
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Appendix "A"	Example Copy of Form	10
Appendix "B"	Example Copy of Completed Form	11

INSTRUCTIONS MANUAL FOR PERFORMANCE APPRAISAL (Supervisory)

SECTION I - INTRODUCTION

Any organization's success ultimately depends on the caliber and performance of its employees. A formalized performance appraisal system should attempt to accomplish several goals for the employee, the supervisor and the employer.

PERFORMANCE APPRAISALS SHOULD:

RATING SUPERVISOR BENEFIT:

1. Allow for harmonious policy implementation with a chance to clarify any misunderstanding.
2. Provide the rating supervisor with a view of the supervisory employee's perception of the department and aid in providing direction.
3. Encourage communication with supervisory employee related to the supervisory employee's development, career path, retention, etc.
4. Supply data to assist the rating supervisors in making informed decisions relative to promotions and other employment related decisions.
5. Provide rating supervisors with an understanding of the supervisory employees' view of their job and place in the departmental structure.
6. Give rating supervisors an opportunity to determine who has the ability/potential to be a successor for key jobs within the department.

SUPERVISOR (EMPLOYEE) BENEFIT:

1. Supply the supervisory employees with an understanding of their work performance as viewed by their immediate supervisor.
2. Present supervisory employees with recognition of job performance in which they excel as well as those areas needing improvement.
3. Furnish supervisory employees an opportunity to discuss work related ambitions, expectations and/or problems.
4. Provide supervisory employees a formal method with which to meet and confer with their immediate supervisor relative to any problems confronting both parties.

EMPLOYER BENEFIT:

1. Provide a succinct overview of the ability and suitability of the supervisory employee both in the performance of duties as well as the quality of management and leadership efforts.
2. Allow the employer to determine the degree of match between the individual and the job requirements.
3. Measure the quality of supervision.

4. Aid the development of competent supervisors to carry out the policies of the respective department.

Regardless of how many benefits are attributed to the formalized system, the positive efforts of the rating supervisor and Department Head are essential to the system's success. In viewing the form, note the emphasis placed on written comments by the rating supervisor. The comment sections for each rating area are important as a means of informing supervisory employees of the positive and negative factors affecting their job performance. These sections can also be utilized to specify new or re-stated goals.

By not using the comment sections, the rating supervisor creates a "missed opportunity" for open communication with the supervisory employee, which also impacts the effectiveness and efficiency of the department.

Rating supervisors may be required to make difficult judgments regarding performance; therefore, it is necessary to put aside personal likes/dislikes of an individual and focus instead on behaviors and outcomes of job performance. Performance appraisals are not popularity contests, but rather an attempt to adequately measure the supervisory employee's performance relative to the position held, the untapped skills and abilities the individual offers, and the level of leadership and initiative they possess. Completing and conducting the annual performance review is a strategic assessment and evaluation.

SECTION II - PREPARATION FOR THE APPRAISAL PROCESS

The sequence for the performance appraisal process is as follows:

1. Prepare and gather information, including a review of the job description, by the rating supervisor.
2. Complete the actual appraisal form.
3. Review and discuss with Elected Official/Department Head (EO/DH) or designee prior to meeting with the supervisory employee.
4. Review and discuss appraisal with the supervisory employee.
5. Forward the appraisal form to the Human Resources Director for review and approval.

STEP ONE: Preparation and Gathering

In preparation, the rating supervisor should review the position (job) description ensuring it is up-to-date. **Utilize the position description as a guide ensuring only job related matters are evaluated and communicated.**

It is important throughout the performance period that the rating supervisor gather and record all critical incidents related to the performance of a supervisory employee. Critical incidents are basically those items that are above or below the average performance level. A log maintained regularly with this information will provide the rating supervisor with a wealth of information with which to complete the appraisal form.

All critical incidents recorded in the log should have prompted conversation with the supervisory employee at the time of occurrence. This assures that comments and ratings for a particular appraisal factor will not be a surprise to the supervisory employee at the time the appraisal is presented. Do not allow one incident (no matter how significant) to unduly affect the overall view of performance.

Personal problems should not be included in the document unless these problems have negatively impacted work performance which can be objectively documented. Furthermore, the appraisal content should address both specific behavior and performance items as well as the employee's total performance.

The rating supervisor needs to set aside sufficient time to review information, write comments, and determine individual and overall ratings. Performance appraisals are not to be discussed with unauthorized individuals and such action will result in discipline for all parties involved.

STEP TWO: Completion

SECTION A: Computer Label

Check the computerized label at the top of the form for accuracy. The Human Resources (HR) department should be notified immediately of any incorrect information. Do not make corrections or change the appraisal dates. Depending upon the corrections, a new form may need to be generated.

SECTION B: Type and Time Period

An appraisal will be one of the following three types:

1. Probationary: An appraisal on a supervisory employee who has completed the new employee probationary period. Emphasis is on exhibited desire and ability to perform the duties and responsibilities. The rating supervisor is to allow adequate time for consultation with any co-workers impacted by the employee's performance. The rating supervisor should ensure that the probationary review is completed at or close to the end of the probationary period.

NOTE: The determination regarding a new supervisory employee's retention should be concluded prior to the end of the new employee probationary period and in advance of the performance review.

2. Annual: An appraisal done on supervisory employees who have remained in the same classification since the last scheduled appraisal.
3. Promotional: An appraisal which is done on supervisory employees who have changed classifications. As with probationary appraisals, the rating supervisor is to assure the process is completed prior to the end of the promotional period.
4. Transfer/Demotion: An appraisal is completed when these employment changes occur to record the supervisory employee's performance up to their transfer or demotion date.

By denoting the type of appraisal completed, individuals reviewing will have an immediate reference point for both the ratings given and comments made on the appraisal form.

The rating supervisor should also note the time period the appraisal covers. Incidents which occur outside of the rating period shall not be considered by the rating supervisor nor should they affect the appraisal process.

SECTION C: Instructions

Review the rating scale and each rating's definition. Using a standard rating scale ensures a uniform approach by all rating supervisors.

SECTION D: Rating Scale

Note and use the numerical rating which most closely reflects the supervisory employee's performance.

0 = UNSATISFACTORY: Supervisory employee consistently does not achieve minimal requirements.

1 = MARGINAL: Supervisory employee achieves most requirements of the position. Improvement is slow and more direct supervision is required than would normally be expected of someone within a supervisory role.

2 = SATISFACTORY: Objectives for this position are being met. Performance represents that which is expected from a competent and qualified supervisory employee.

3 = COMMENDABLE: Supervisory employee frequently exceeds the expectations for this position. Performance reflects progressive improvement and acceptance of additional responsibilities.

4 = SUPERIOR: Superior performance is the norm rather than the exception. Achievements on a day-to-day basis exceed the expectations for this position. The supervisory employee requires minimal or no direction and easily accepts new assignments/projects.

SECTION E: Rating Factors

The rating supervisor needs to consider each factor separately. These three factors (1-3) Factors 1 through 3 are stated on the appraisal form and are applicable to all supervisory positions.

SECTION F: Accountabilities

This section allows for up to three (3) areas to be stated, commented upon, and rated. In the majority of the appraisals, the language may be taken directly from those areas listed under "Primary Duties and Responsibilities" in the position description. Upon review, should the rating supervisor determine that the position description does not list the major areas for which the supervisory employee is held accountable; the rating supervisor may construct the statement. If language other than that of the position description is used, it must comply with the following:

1. It must be strictly job related.

2. No statement for the accountabilities may be structured in a fashion to provide an unfair advantage nor may it provide an unfair disadvantage.

Regardless if the exact language is used from the position description or a statement is constructed, those statements are to reflect the major areas of responsibility for the position held by the supervisory employee. Any questions on this section are to be referred to the Human Resources Department for clarification.

SECTION G: Employee's Performance That May Hinder Future Development

This section should be used to identify and discuss with the supervisory employee any significant problem(s), which if not corrected could prevent or delay future advancement. The problem(s) may endanger the supervisory employee's continued employment. No rating is to be assigned.

PERFORMANCE GOALS: Suggest specific and attainable goals supervisory employees should achieve during the next rating period, such as improving efficiency, addressing employee relations matters, creating additional reports, etc.

SECTION H: Supervisory Employee's Contribution:

Indicate performance of supervisory employee which is noteworthy and deserves praise. The entire process is designed to be positive in nature, and this Section was included to assist the rating supervisor in ending it on a positive note.

SECTION I: Overall Rating

The overall rating is to be determined in the manner as prescribed by the Human Resources Department. The total numerical score of all factors rated is to be divided by the number of factors used. Appraisal numerical score totals will be divided by the number of factors plus the number of accountabilities used.

When the overall rating is computed, the total (numerical score of all factors and accountabilities are divided by number of factors/accountabilities used) is to be rounded to the nearest tenth, for example 2.75=2.8; 3.25=3.3.

STEP THREE: Review

The rating supervisor should review those observations, ratings, and goals stated on the appraisal with the EO/DH prior to the supervisory employee conference to ensure departmental agreement relative to the supervisory employee's performance rating.

STEP FOUR: Employee Conference

Communication is the key to the success of a well managed performance appraisal system. The conference is designed primarily to:

1. Give the supervisory employee a clear vision regarding his/her role within the organization.
2. Indicate those areas of performance that deserve merit.

3. Supply the supervisory employee with feedback regarding those areas presenting an opportunity for improvement and suggestions on how to achieve improvement.
4. Create an opportunity to build a stronger working relationship between the rating supervisor and the supervisory employee.
5. Eliminate any misunderstandings that may exist.
6. Provide an opportunity for the supervisory employee to discuss any facets of their responsibilities that are vague, confusing, or not understood or in which the supervisory employee would like direction and/or assistance.

It is acknowledged that in some cases this process will be difficult. To minimize any difficulties some assistance is provided to help in conducting a successful conference. These are only suggestions and the method used will be dependent on the level of communication and rapport between the supervisory employee and the rating supervisor.

1. Schedule Adequate Time: This will vary with each appraisal, so give consideration to the amount of time needed based upon the content of the performance appraisal, the nature of the individual involved, and the amount of coaching that may be necessary during the conference. It is important not to rush the conference or give the impression that the supervisory employee or the process does not merit enough time. Conferences do not need to be overly lengthy, but should provide sufficient time for a complete exchange of information. Keep in mind that many supervisory employees will use their own appraisal experience as a guide to how they should conduct the conferences themselves.
2. Privacy: The conference should be conducted in an area/office which assures maximum privacy. The contents of the appraisal are a matter only for consideration and knowledge of the supervisory employee, the rating supervisor, and the EO/DH. Privacy also creates an atmosphere in which the supervisory employee may feel more at ease and free to speak. It also ensures that negative factors discussed do not immediately become common knowledge.
3. Relevancy: Although it may be helpful to engage in some social small talk, don't let the interview ramble at great lengths on subjects not relevant. It should be remembered that the performance appraisal and the conference are not meant to punish or scold a supervisory employee but rather help the supervisory employee and the rating supervisor identify the strengths and weaknesses of both the supervisory employee and issues within the department. Used in this manner, the performance appraisal can become a positive morale builder.
4. Correction: Any supervisory employee problem(s) should be identified and time allotted for discussion and recommendations on steps necessary to improve the situation as well as the establishment of a date within which improvement should be attained. Rating supervisors should note the time period specified for improvement and monitor the supervisory employee's activity accordingly. If improvement is shown, the supervisory employee should receive recognition of this fact. If no improvement is achieved, further counseling or corrective action may be necessary.

Upon completion of the conference, the supervisory employee must sign in the area designated. It should be noted that the supervisory employee's signature only denotes knowledge of the appraisal and its contents. The signature does not denote agreement or disagreement with the contents of the performance appraisal. A supervisory employee may refuse to sign the appraisal, which is permissible. If thus occurs, the rating supervisor should note on the appraisal form that the supervisory employee refused to sign. This notation should be initialed by the rating.

Space is provided on the form for any comments that the supervisory employee may desire to make. The supervisory employee shall not be restricted, inhibited, or discouraged from making written comments on the appraisal form or in furnishing any additional written comments to be attached to the form.

STEP FIVE: Review by the Human Resources Department

When the signatures of the rating supervisor, EO/DH, and the supervisory employee have been secured, the appraisal form is to be forwarded promptly to the Human Resources Department for review. The review will ensure that all procedures have been adhered to and that the appraisal is complete. Should there be a violation of procedures or concern regarding a particular rating, the Human Resources Director shall bring the matter to the attention of the EO/DH.

The Human Resources Director reserves the right to change, modify, or negate any portion of the performance appraisal when the procedures and guidelines have not been met.

After the appraisal has been reviewed and approved by the Human Resources Department copies of the approved appraisal will be distributed to:

1. The personnel file of the supervisory employee.
2. The Elected Official/Department Head.
3. The supervisory employee.

SECTION III - SUMMARY:

Rating supervisors should use the performance appraisal as a year-round tool to measure the supervisory employee's effectiveness. If a supervisory employee's performance deteriorates, it should be noted in order to determine if the reason is job-related and/or to determine what steps need to be taken to aid in correcting the situation. If the problem is not job-related, but personal in nature, the rating supervisor may be limited in the actions which can be taken. In both instances, the rating supervisor should consult with the EO/DH.

Meritorious conduct should also be noted and brought to the attention of the supervisory employee and the EO/DH for proper recognition.

With the cooperation of all the parties involved, the performance appraisal process can be a useful tool in the development of supervisory employees.