

WEBER COUNTY CORRECTIONAL FACILITY

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ADMINISTRATION

Chapter

JB 12 - EMPLOYEE PERFORMANCE EVALUATIONS

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JB 12/01.00 **GENERAL**

JB 12/01.01 **Purpose**

The purpose of this chapter is to provide the Weber County Sheriff's Office with policies and procedures related to the member performance evaluation system.

JB 12/01.02 **Cross Reference**

JB 12/01.03 **Definitions**

performance evaluation/appraisal	a systematic process of assessing a member's performance in the achievement of pre-planned goals, objectives and competencies over a given period
performance management	achievement of pre-planned goals, objectives and competencies over the day-to-day supervision, coaching, guidance and feedback provided the member by the immediate supervisor
performance plan	goals, objectives, performance competencies, and success criteria developed through the systematic collaboration of a member and the member's supervisor, against which the member's performance competencies will be judged in the next twelve months or other agreed upon period
results expected	competencies and expectations as identified in the designated section of the performance evaluation form
WCHR	Weber County Human Resources
WCSO	Weber County Sheriff's Office

JB 12/02.00 **PERFORMANCE EVALUATION**

JB 12/02.01 **Policy**

It is the policy of the WCCF to establish and manage an effective employee performance appraisal program that is conducted in a manner which ensures fair treatment and objective appraisal of employee performance.

JB 12/02.02 **Rationale**

An appraisal program provides the tools necessary to assist managerial employees to more effectively manage the performance of their subordinates.

JB 12/02.03 **Standards**

- A. Performance competencies and expectations shall be specifically articulated for members. Each member shall participate in the establishment of performance standards and expectations relevant to the job.
- B. Goals and competencies shall be specified in the performance plan.
- C. Members shall be advised of how they are performing in relation to established competencies.
- D. Members shall be made aware of the time frames and actions to be taken to improve performance and to increase the value of service.
- E. Members shall know what role the supervisor shall play in assisting toward improved performance.
- F. Members shall have the right to prepare relevant comments to accompany their evaluations.
- G. Under no circumstances shall a member be allowed to prepare his own performance evaluation. It is the responsibility of the member's supervisor to prepare the evaluation.

JB 12/02.04 **Performance Rating**

Each member evaluation shall provide an over all performance rating which can be equated to one of the following levels:

N/A=

Not observed or does not apply

1= Unsatisfactory	Performance fails to meet requirements of the position.
2= Needs Improvement	Corrective action becomes imperative when a member receives an overall unsuccessful rating. A “needs improvement” rating in one area does not require a corrective action.
3= Meets job requirements	Performance meets requirements of the position.
4= Exceeds job requirements	Performance far exceeds requirements of the position.
5= Outstanding	Performance consistently far exceeds requirements of the position and requires specific justification, in writing, by the reviewer.

JB 12/02.05 Evaluation Period

- A. Performance appraisals must be completed annually, as a minimum, to be considered current.
- B. Performance evaluation is an ongoing process which requires that the supervisor and subordinate meet periodically to discuss achievements, review performance and mutually agree on strategies to eliminate performance problems. This ongoing process culminates in the written evaluation at the end of the member’s annual appraisal period.
- C. Probationary members shall receive a written evaluation consistent with the current WCSO Human Resource Department.
- D. Members on corrective action status shall be formally evaluated prior to removal from that status.

JB 12/02.06 Review of Appraisal

- A. Each completed appraisal form shall be reviewed and signed by the supervisor.
- B. This certification indicates that the reviewer has met with the employee and that the employee was interviewed by the appraiser, as provided in this chapter.

JB 12/02.07 Staff Transfer

- A. A member who is transferred from one bureau to another bureau in the WCSO shall receive an evaluation from the immediate supervisor of the work unit from which the member is being transferred.
- B. A member who is transferred from one work unit to another within the same bureau shall receive an evaluation from the supervisor of the unit from which he is being transferred.
- C. A supervisor or manager who is transferred from one bureau to another shall prepare evaluations of the employees he is supervising prior to moving to the new work area.
- D. It is preferable to complete an evaluation before the transfer occurs. If this is not possible, then the evaluation should be completed within ten working days after the transfer.
- E. If an evaluation has been done within the past ninety days and circumstances have not changed, the evaluation may be used to fulfill the requirements of this section.

JB 12/03.00 **USES OF EVALUATION**

JB 12/03.01 **Policy**

Members should know the explicit purposes/uses of performance appraisals in the WCSO.

JB 12/03.02 **Rationale**

Performance evaluations in the WCSO have two purposes. Results are used:

- A. for making administrative decisions related to merit increases, promotions, transfers, and discipline; and
- B. to identify and design performance improvements and career development strategies for members.

JB 12/03.03 **Administrative**

Evaluations may be used to:

- A. serve as a tool to achieve maximum efficiency in human resources utilization;
- B. measure the overall effectiveness of staff relative to the achievement of the WCSO goals, objectives and programs;
- C. validate recruitment and selection practices;
- D. identify weaknesses in the operational structure;
- E. provide information for the identification of members with supervisory and leadership potential;
- F. identify training needs;
- G. provide information for decisions about promotions;
- H. make decisions about annual salary increases; and
- I. provide information to make decisions about employee disciplinary actions, including, but not limited to: termination, demotion, transfer, suspension and reprimands.

JB 12/03.04 **Developmental**

Evaluations may be used to:

- A. improve work performance through the mutual establishment of performance standards and expectation;
- B. generate constructive discussion between supervisor and subordinate about performance and achievement of mutually agreed plans, goals and objectives;
- C. identify member strengths, weaknesses, and any corrective action to be taken to improve performance;
- D. recognize exceptional performance of members; and
- E. provide written feedback to members whose performance does not meet required standards.

JB 12/04.00 **PERFORMANCE PLAN**

JB 12/04.01 **Policy**

It is the policy of the WCSO to have a current performance plan for each employee.

JB 12/04.02 **Rationale**

A performance plan is a necessary tool for the effective management of employee performance.

JB 12/04.03 **Purpose**

- A. Performance planning is a continuing and collaborative process through which members and their supervisors:
 - 1. jointly identify objectives for the upcoming rating period;
 - 2. define priorities and performance competencies; and
 - 3. compare progress against expectations and revise the plan, when necessary.
- B. Performance planning helps accomplish management purposes. It:
 - 1. helps members and their supervisors to be more successful in achieving goals and competencies;
 - 2. provides the foundation for effective coordination of efforts to accomplish goals and competencies; and
 - 3. helps in optimizing the utilization of resources.

JB 12/04.04 **Requirements**

- A. Each member shall be provided with a performance plan as required during each appraisal year.
- B. The performance plan shall include results expected, goals and competencies for each result expected, mutually acceptable performance standards and a prioritization of goals and competencies.
- C. Both the member and the supervisor shall sign the performance plan.
 - 1. The member shall sign the plan indicating agreement with its content.

2. The member may receive a hard copy from the supervisor who shall submit the original copy to the Lead Office Specialist for submittal to WCHR.

D. Supervisors shall complete a performance plan on all new members within ten working days of their assignments to the supervisor's work unit.

JB 12/04.05 **Guidelines**

The performance plan shall be implemented fairly and objectively; therefore, those who prepare performance plans and evaluation should:

- A. establish goals which are specific, relevant, realistic, measurable and reliable;
- B. avoid making judgements on personality factors or characteristics except where they are directly related to effective performance of the job;
- C. periodically meet with each member to discuss performance competencies, resolve problems and revise the plan as is deemed necessary;
- D. provide members with the opportunity to initiate discussions about job performance and resolve issues; and
- E. Not make any reference to a member's private life unless it is detrimental to the member's job performance.

JB 12/04.06 **Criteria**

- A. Criteria shall be set for each job class so as to enhance inter-rater reliability and uniformity.
- B. Measurement criteria shall be uniformly applicable to all job incumbents who are in the same class specification and who perform the same function within the same work unit.
- C. Criteria shall be rationally related to expected competencies and job descriptions.
 - 1. Criteria shall be realistic.
 - 2. Criteria shall be representative of or relevant to the functions, tasks and the responsibilities of the member's job.
 - 3. Criteria should be consistent with the position's post order and acceptable to both the member and his supervisor.

- D. This puts a premium on participation by the member in establishing performance plans, goals and competencies.
- E. Disputes regarding expectations of performance should be resolved at the appraiser's supervisor level.
 - 1. Criteria shall be understandable. A member who does not understand the standards by which his performance is to be judged will be uncertain about what is expected.
 - 2. Criteria shall be measurable. This increases the objectivity of performance evaluation.
 - 3. Relevant quantifiable criteria be identified and used for the measurement of performance where possible. However, not all criteria are quantifiable.
- F. Qualitative criteria shall be used in many instances in conjunction with quantitative criteria. Qualitative criteria shall be clearly defined.
 - 1. Criteria shall be reliable. This means that criteria shall measure achievement accurately and consistently across raters for equivalent levels of performance.
 - 2. Criteria shall be stable. There should not be change or room for individual interpretation.

JB 12/04.07 **Major Types of Criteria**

There are two types of criteria. They include observation of behavior and examination of results.

- A. The observation of behavior is concerned with how the member proceeds to accomplish goals and objectives, and requires supervisors to be vigilant in monitoring the actual demonstration of member behavior (e.g., tenacity, interpersonal relations, response to pressures, attention to details, and use of judgement).
- B. Examination of results is concerned with the results achieved by the individual relative to the performance plan, and deals with the member's specific achievements during the appraisal period.

JB 12/05.00 **PERFORMANCE PLANNING**

JB 12/05.01 **Policy**

It is the policy of WCSO for members to be provided with the opportunity to participate in planning their performance and review the results of their performance.

JB 12/05.02 **Rationale**

Employer involvement in performance planning provides the groundwork for more effective performance management and employer acceptance of performance standards.

JB 12/05.03 **General**

- A. Goal setting is critical for the development of performance plans and standards. Goals define in broad terms the underlying purpose of a given activity or set of activities.
- B. Competencies specify what it is we want to achieve from an activity.

JB 12/05.04 **Fundamental Principles of Performance Planning**

Certain fundamental principals govern the establishment of goals and competencies and their accompanying performance standards.

A. **Practice Participative Goal-setting**

In setting goals and objectives of members, the supervisors should seek to involve members in the process.

B. **Outline Results to be Achieved**

There should be room for flexibility. The supervisor and member should discuss workload, deadlines, and necessary resources.

C. **Relate to Organizational Objectives and Goals**

In formulating performance plans, the supervisor/manager should inform the member how his work contributes to the organization's overall function and goals.

D. Define Competencies

Competencies shall be clearly defined and understood by both the member and his supervisor. There shall be clear agreement on resources to be made available, periodic review, and other related control activities.

E. Give Support

1. The supervisor shall assure the member that he will be fully supported in pursuing the achievement of the mutually agreed goals and competencies.
2. The supervisor shall assure the member that he will be fully supported in pursuing the achievement of the mutually agreed goals and competencies.

JB 12/05.05 Conducting the Performance Review

- A. Performance reviews should be both formal and informal. Both types help the supervisor to effectively manage the performance of his subordinates.
1. An informal review is a regular, periodic communication of feedback to a member regarding his performance. It constitutes one form of input to the formal review.
 2. Generally, a formal review is a structured interview which shall be afforded each member at least once annually each rating period. It is the responsibility of the bureau director to ensure that each bureau is afforded a formal review by the member's immediate supervisor.
- B. The supervisor should:
1. prepare for the review by:
 - a. defining the purpose of the session and determining the outcomes to be achieved;
 - b. giving advance notice of the session to the member;
 - c. preparing an agenda to include issues to be discussed and performance outcomes expected; and
 - d. covering all agenda components including member strengths, improvement areas, development areas and follow-up schedule;
 2. create a positive climate by:

- a. avoiding interruptions such as telephone calls; and
- b. ensuring privacy;
- 3. give and receive feedback by:
 - a. starting with strengths to establish a positive environment for discussion;
 - b. encouraging the member to participate in identifying performance problems and generating solutions;
 - c. listening to the member and paraphrasing information provided; and
 - d. letting the member know where he stands relative to the accomplishment of objectives; and
- 4. plan for future achievement by:
 - a. focusing on performance improvement, including the development of a performance plan and the identification of behaviors and activities which will help the member improve performance;
 - b. exploring causes of problems such as job design and overly optimistic objectives;
 - c. defining his role with respect to training, coaching, supporting and establishing general tutorial relations with the member;
 - d. establishing a follow-up date to review the changes and issues discussed;
 - e. summarizing the session and emphasizing action to be taken; and
 - f. documenting the discussion points, which have been initiated by the member, in the supervisor's file.

JB 12/05.06 **Confidentiality**

- A. Performance evaluations shall remain in the agency personnel file and become a part of the private information contained in that file.

- B. Performance evaluation forms may be used in decisions concerning advancement, future training needs, performance related salary adjustments, and contested disciplinary actions.

JB 12/06.00 **LEARNING OBJECTIVES**

The primary learning objectives for this chapter are developing an understanding that:

- A. members will know and understand the Department's performance appraisal program;
- B. managerial employees will be proficient in the use of the Department's employee performance appraisal program; and
- C. performance plans and evaluations are designed to:
 - 1. provide for an objective appraisal system designed to promote effective performance management;
 - 2. enhance members' understanding of effective appraisal concepts and practices; and
 - 3. develop participant's knowledge of the value of performance planning; and
 - 4. increase managerial employees' knowledge of the value of effective performance management.