

Performance Management - APPENDIX E ❖ For Appraising Supervisory Employees

Part A ■ PERFORMANCE PLAN

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|--|------------|
| EMPLOYEE NAME (AS IT APPEARS ON PAYROLL) | RATER |
| EMPLOYEE TITLE | TITLE |
| EMPLOYEE IDENTIFICATION NUMBER (EIN) | DEPARTMENT |

Performance Management Cycle / Effective Dates (min. 90 calendar days) From (mm/yy) To (mm/yy)

PROGRESS REVIEW DISCUSSION (MINIMUM ONE PER CYCLE - RECOMMENDED QUARTERLY)

Anticipated Progress Review Discussion date(s) (mm/yy) (mm/yy) (mm/yy) (mm/yy)

Actual Progress Review Discussion date(s) (mo/day/yr) (mo/day/yr) (mo/day/yr) (mo/day/yr)

Performance Plan ■ Section 1: Development Opportunities

LIST TARGETED TRAINING & DEVELOPMENT GOALS FOR THIS PERFORMANCE MANAGEMENT CYCLE OR INDICATE "NONE".

| AREA(S) OF DEVELOPMENT | METHOD OF DEVELOPMENT | DESIRED OUTCOME |
|------------------------|-----------------------|-----------------|
| | | |

Performance Plan ■ Section 2: Performance Improvements

LIST AREAS IDENTIFIED IN THE PREVIOUS CYCLE THAT REQUIRE IMPROVEMENT, OR INDICATE "NONE".

| AREA(S) REQUIRING IMPROVEMENT | EXPECTATIONS | TIMELINE |
|-------------------------------|--------------|----------|
| | | |

Performance Plan ■ Section 3: Organizational Conduct

Attendance and Punctuality (the degree to which the employee can be depended upon to be available for work and to fulfill position responsibilities)

- ▶ Time off is requested and/or scheduled in advance
- ▶ Work is begun on time
- ▶ Partial and full day absences follow guidelines
- ▶ Job duties are covered while on annual leave (unless concurrent with an approved leave of absence)

Interactions with Others (the extent to which the employee shows understanding and sensitivity to the needs and problems of others internal to the organization or doing business with the County, such as contractors, consultants, etc.)

- ▶ Working relationships are effective
- ▶ Positive image of self and others is displayed
- ▶ Respectful and cooperative demeanor is observed

Work Habits (the manner in which the employee conducts himself or herself in the work environment)

- ▶ Applicable laws, rules, policies and directives are observed
- ▶ Safety standards and procedures are followed
- ▶ County equipment is properly used and maintained

INCLUDE A MINIMUM OF THREE / MAXIMUM OF FIVE DIMENSIONS FOR THIS PERFORMANCE MANAGEMENT CYCLE

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SAMPLE

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Performance Plan ■ Section 5: Leadership

Staff Relations (the degree to which the employee creates and maintains effective supervisor/staff relations)

- ▶ Fair and equitable treatment of staff is observed
- ▶ Work environment is safe and free from harassment
- ▶ Support for a diverse workforce is exhibited

Productivity Results (the degree to which the employee oversees the workflow and processes of a work unit, division or department)

- ▶ Decisions made are timely and appropriate to the situation
- ▶ Problems and challenges are handled with proficiency
- ▶ Expected results are achieved on time and within budget

Supervision (the extent to which the employee shows the ability to authorize work and supervise assigned staff)

- ▶ Work schedules are established and monitored for effectiveness
- ▶ Directives given are clear and communicated in a timely manner
- ▶ Performance feedback is given in accordance with County guidelines
- ▶ Recognition and staff development opportunities are appropriately provided
- ▶ Thorough and timely action is taken in response to poor performance

Performance Management (the degree to which the employee adheres to Performance Management program parameters and effectively utilizes all components)

- ▶ Plans and Appraisals are prepared, submitted for approval and consistently issued in a timely manner
- ▶ Plan content is job-related, specific, measurable, achievable, realistic and time-sensitive
- ▶ Progress Review Discussions are conducted at least once per appraisal cycle for assigned staff

Performance Plan ■ Section 6: Signatures

Performance Plans must not be retroactive, therefore the month / year following the Rater's and Employee's signatures below must match the beginning month / year of the Performance Management Cycle effective dates.

Rater: I met with the employee and discussed this Performance Plan.

Rater's Signature (Signs first, immediately after discussing plan with employee)

Date (mo/day/yr plan discussed with employee)

Employee: I was given the opportunity to discuss the content of this Performance Plan with my Rater. I understand that I will receive an appraisal at the end of this appraisal cycle.

Employee's Signature (Signs second, immediately after discussing plan with Rater)

Date (mo/day/yr plan discussed with Rater)

Reviewer: I concur with the content of this Performance Plan.

Reviewer's Signature (Final approval - signs last, after Employee/Rater meet and sign)

Date (mo/day/yr)

A copy of the issued and Reviewer-signed Performance Plan is given to the employee. The original is maintained in the department personnel file. Please do not send a copy of the Performance Plan to Human Resources.

To print Performance Plan only: print pages 1-3 (please consider the environment and print double-sided)

SAMPLE

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Performance Management - APPENDIX E ❖ For Appraising Supervisory Employees

Part B ● PERFORMANCE APPRAISAL

| | |
|---|-------------------|
| EMPLOYEE NAME (AS IT APPEARS ON PAYROLL) | RATER |
| EMPLOYEE TITLE | TITLE |
| EMPLOYEE IDENTIFICATION NUMBER (EIN) | DEPARTMENT |

Performance Management Cycle / Effective Dates ▶ ▶ From (mm/yy) To (mm/yy)
 (Min 90 calendar days / max approx. 1 yr)

Type: Actual Date Appraisal Issued to Employee: _____
 (mo/day/yr)

Performance Appraisal ● Section 1: Development Opportunities

TARGETED TRAINING AND DEVELOPMENT GOALS FOR THIS PERFORMANCE MANAGEMENT CYCLE, IF ANY.

| AREA(S) OF DEVELOPMENT | METHOD OF DEVELOPMENT | DESIRED OUTCOME |
|------------------------|-----------------------|-----------------|
| | | |

RATER'S COMMENTS (TO BE COMPLETED AS PART OF APPRAISAL)

Performance Appraisal ● Section 2: Performance Improvements

AREAS IDENTIFIED IN THE PREVIOUS CYCLE THAT REQUIRE IMPROVEMENT, IF ANY.

| AREA(S) REQUIRING IMPROVEMENT | EXPECTATIONS | TIMELINE |
|-------------------------------|--------------|----------|
| | | |

RATER'S COMMENTS (TO BE COMPLETED AS PART OF APPRAISAL)

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| Performance Appraisal ● Section 3: Organizational Conduct | | RATING | |
|---|--|--------------|--|
| <p>Attendance and Punctuality <i>(the degree to which the employee can be depended upon to be available for work and to fulfill position responsibilities)</i></p> <ul style="list-style-type: none"> ▶ Time off is requested and/or scheduled in advance ▶ Work is begun on time ▶ Partial and full day absences follow guidelines ▶ Job duties are covered while on annual leave (unless concurrent with an approved leave of absence) | | SURPASSES | |
| | | SUCCESSFUL | |
| | | INCONSISTENT | |
| | | UNACCEPTABLE | |
| <p>Interactions with Others <i>(the extent to which the employee shows understanding & sensitivity to the needs and problems of others internal to the organization or doing business with the County, i.e., contractors, consultants, etc.)</i></p> <ul style="list-style-type: none"> ▶ Working relationships are effective ▶ Positive image of self and others is displayed ▶ Respectful and cooperative demeanor is observed | | SURPASSES | |
| | | SUCCESSFUL | |
| | | INCONSISTENT | |
| | | UNACCEPTABLE | |
| <p>Work Habits <i>(the manner in which the employee conducts him or herself in the work environment)</i></p> <ul style="list-style-type: none"> ▶ Applicable laws, rules, policies and directives are observed ▶ Safety standards and procedures are followed ▶ County equipment is properly used and maintained | | SURPASSES | |
| | | SUCCESSFUL | |
| | | INCONSISTENT | |
| | | UNACCEPTABLE | |

CATEGORY NARRATIVE (REFLECTS AN OVERVIEW OF PERFORMANCE CATEGORY RATINGS FOR SECTION 3)

| Performance Appraisal ● Section 4: Customized Performance Dimensions | | RATING | |
|--|--|--------------|--|
| <i>PLEASE RATE THIS EMPLOYEE FOR EACH DIMENSION LISTED</i> | | | |
| | | SURPASSES | |
| | | SUCCESSFUL | |
| | | INCONSISTENT | |
| | | UNACCEPTABLE | |
| | | | |

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| Performance Appraisal ● Section 4: Customized Performance Dimensions (cont'd) | RATING | |
|---|--------|--------------|
| | | SURPASSES |
| | | SUCCESSFUL |
| | | INCONSISTENT |
| | | UNACCEPTABLE |
| | | |
| | | SURPASSES |
| | | SUCCESSFUL |
| | | INCONSISTENT |
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| | | SURPASSES |
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| | | |
| | | SURPASSES |
| | | SUCCESSFUL |
| | | INCONSISTENT |
| | | UNACCEPTABLE |
| | | |
| <p><i>CATEGORY NARRATIVE (REFLECTS AN OVERVIEW OF PERFORMANCE CATEGORY RATINGS FOR SECTION 4)</i></p> | | |

SAMPLE

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Performance Appraisal ● Section 5: Leadership

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|--|--|--------------|
| <p>Staff Relations <i>(the degree to which the employee creates and maintains effective supervisor/staff relations)</i></p> <ul style="list-style-type: none"> ▶ Fair and equitable treatment of staff is observed ▶ Work environment is safe and free from harassment ▶ Support for a diverse workforce is exhibited | | SURPASSES |
| | | SUCCESSFUL |
| | | INCONSISTENT |
| | | UNACCEPTABLE |
| <p>Productivity Results <i>(the degree to which the employee oversees the workflow and processes of a work unit, division or department)</i></p> <ul style="list-style-type: none"> ▶ Decisions made are timely and appropriate to the situation ▶ Problems and challenges are handled with proficiency ▶ Expected results are achieved on time and within budget | | SURPASSES |
| | | SUCCESSFUL |
| | | INCONSISTENT |
| | | UNACCEPTABLE |
| <p>Supervision <i>(the extent to which the employee shows the ability to authorize work and supervise assigned staff)</i></p> <ul style="list-style-type: none"> ▶ Work schedules are established and monitored for effectiveness ▶ Directives given are clear and communicated in a timely manner ▶ Performance feedback is given in accordance with County guidelines ▶ Recognition and staff development opportunities are appropriately provided ▶ Thorough and timely action is taken in response to poor performance | | SURPASSES |
| | | SUCCESSFUL |
| | | INCONSISTENT |
| | | UNACCEPTABLE |
| <p>Performance Management <i>(the degree to which the employee adheres to Performance Management program parameters and effectively utilizes all components)</i></p> <ul style="list-style-type: none"> ▶ Plans and Appraisals are prepared, submitted for approval and consistently issued in a timely manner ▶ Plan content is job-related, specific, measurable, achievable, realistic and time-sensitive ▶ Progress Review Discussions are conducted at least once per appraisal cycle for assigned staff | | SURPASSES |
| | | SUCCESSFUL |
| | | INCONSISTENT |
| | | UNACCEPTABLE |
| <p>CATEGORY NARRATIVE <i>(REFLECTS AN OVERVIEW OF PERFORMANCE CATEGORY RATINGS FOR SECTION 5)</i></p> | | |

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Performance Appraisal ● Section 6: Signatures

Rater: I conducted at least one progress review discussion with the employee during the Performance Management Cycle. I also discussed the performance appraisal ratings with the employee and, if needed, explained job expectations, areas needing clarification, or performance issues requiring improvement.

Rater's Signature (Signs first, immediately after discussing appraisal with employee)

Date (mo/day/yr appraisal discussed with employee)

RATER'S COMMENTS (OPTIONAL):

Employee: I was given the opportunity to discuss the content of this appraisal with my Rater. I understand that I may:

- Respond to the appraisal in the space provided below or submit a single-sided legibly typewritten (minimum 10 pt font) or legibly handwritten response within five calendar days (following receipt of my appraisal) and/or
- Submit a request for reconsideration of ratings to my Appointing Authority or Designee with my written response within five calendar days (following receipt of my appraisal).

I also understand the completed appraisal will be forwarded to Human Resources for inclusion in my official personnel file.

Employee's Signature (Signs second, immediately following appraisal discussion with Rater or may sign and submit within five calendar days)

Date (mo/day/yr - within five calendar days of appraisal discussion with Rater)

EMPLOYEE'S COMMENTS (OPTIONAL)

- ◆ **It is advisable to wait for the employee response period (five calendar days) to elapse before submitting the appraisal to the Reviewer for final approval.**
- ◆ **The optional employee response is the only appraisal attachment permitted.**

Reviewer: I have reviewed and concur with the Rater's appraisal ratings and narratives.

Reviewer's Signature (Final approval - signs last, after Employee/Rater meet and sign)

Date (mo/day/yr)

To print Appraisal only: print pages 5-9 (please consider the environment and print double-sided)

Original - Human Resources (Part B: Performance Appraisal only)

Copies - Department Personnel File & Employee