

Evaluation of Employees

1001.1 PURPOSE AND SCOPE

The Department's employee performance evaluation system is designed to record work performance for both the Department and the employee, providing recognition for good work and developing a guide for improvement.

1001.2 POLICY

The Shasta County Sheriff's Office utilizes a performance evaluation report to measure performance and to use as a factor in making personnel decisions that relate to merit increases, promotion, reassignment, discipline, demotion, and termination. The evaluation report is intended to serve as a guide for work planning and review by the supervisor and employee. It gives supervisors a way to create an objective history of work performance based on job standards.

The Department evaluates employees in a non-discriminatory manner based upon job-related factors specific to the employee's position, without regard to actual or perceived race, ethnicity, national origin, religion, sex, sexual orientation, gender identity or expression, age, disability, pregnancy, genetic information, veteran status, marital status, and any other classification or status protected by law.

1001.3 EVALUATION PROCESS

Evaluation reports will cover a specific period of time and should be based on documented performance during that period. Evaluation reports will be completed by each employee's immediate supervisor. Other supervisors directly familiar with the employee's performance during the rating period should be consulted by the immediate supervisor for their input.

All sworn and non-sworn supervisory personnel shall attend an approved supervisory course that includes training on the completion of performance evaluations within one year of the supervisory appointment.

Each supervisor should discuss the tasks of the position, standards of performance expected and the evaluation criteria with each employee at the beginning of the rating period. Supervisors should document this discussion in the prescribed manner.

Assessment of an employee's job performance is an ongoing process. Continued coaching and feedback provides supervisors and employees with opportunities to correct performance issues as they arise.

Non-probationary employees demonstrating substandard performance shall be notified in writing of such performance as soon as possible in order to have an opportunity to remediate the issues. Such notification should occur at the earliest opportunity, with the goal being a minimum of 90 days written notice prior to the end of the evaluation period.

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Employees who disagree with their evaluation and who desire to provide a formal response or a rebuttal may do so in writing in the prescribed format and time period.

1001.3.1 RESERVE DEPUTY EVALUATIONS

Reserve deputy evaluations are covered under the Reserve Deputies Policy.

1001.3.2 EVALUATION FREQUENCY

Employees are evaluated based on the following chart:

Position	Evaluated Every 6 Months	Evaluated Yearly	Length of Probation
Probationary Sworn Employees	X		1.5 Years
NonProbationary Sworn Employees		X	
Probationary Nonsworn Employees	X		1 Year
NonProbationary, Nonsworn Employees		X	

1001.4 PROCEDURE

A. Whenever a new supervisor is assigned to a work unit, a new employee begins work, or an employee changes a job assignment, the supervisor is responsible for discussing with the employee the expected standards of conduct and performance by which the employee's performance will be evaluated.

- (a) During the course of the evaluation period any minor performance deficiency should be promptly discussed with the employee.
- (b) If a discussion fails to correct a minor deficiency, a supervisor should advise the employee of the need for performance improvement and document the discussion by way of a counseling memorandum to the employee, or by other appropriate means.
- (c) A supervisor should coach an employee in a manner that addresses any deficiency by describing in detail the desired conduct and/or performance.

B. The performance evaluation form is used to describe the employee's performance and summarize and record the discussions during the evaluation period between a supervisor and an employee.

- (a) Because a written performance evaluation is part of the process of continual feedback, performance ratings and narratives should never be a surprise to an employee.
- (b) Each performance evaluation is to be discussed with an employee privately in a face-to-face meeting.
- (c) An employee must be given a copy of his or her written performance evaluation.

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C. Performance evaluations are given for a variety of reasons, and may be given more than once a year. Regardless of the reason for a performance evaluation, a supervisor shall ensure that the ratings are applied consistently within the department, and are related to job performance.

- (a) Annually. This is the most common.
- (b) Probation. A probationary employee shall be given a written performance evaluation no later than six months after his or her appointment to a position, and just before the end of his or her probationary period, or throughout the probationary period within the discretion of the department head.
- (c) Lengthy or special projects. A written performance evaluation may be given during or at the conclusion of a lengthy or special project, as determined by a department head.
- (d) Miscellaneous. Subject to the discretion of a department head, a written performance evaluation may be given to an employee at any other time.

D. Performance evaluations shall be completed on or before the employee's annual review date.

- (a) Personnel shall notify a department of upcoming performance evaluations approximately six weeks prior to an employee's probationary or annual review date.
- (b) A department head is encouraged to develop an evaluation process for supervisors to follow for employee classifications in their department. The examples described in subsections (a) through (c) are not exclusive. A department head may use any process that achieves the goals described in this chapter.

(a) Employee input. Some departments may find it useful to utilize an employee input form (an electronic sample is available from Personnel) which allows the employee to describe his or her achievements and future goals for the supervisor to consider prior to completing the evaluation form.

(b) Draft form. Some departments find it practical to provide the evaluation in draft form to the employee approximately 24 hours prior to the face-to-face meeting, in order to prepare the employee for the meeting.

(c) Supervisor review. Other departments prefer that the supervisor review the draft evaluation with the employee for the first time at the face-to-face meeting and allow the employee a period of time to respond prior to finalizing the evaluation.

- (a) The review process may be different from one employee classification to another in a department. However, whatever process a department head chooses to use, a supervisor is encouraged to make an employee aware of what to expect in the evaluation process.

E. An employee with an overall rating of "Unacceptable" or "Improvement Needed" shall not be entitled to a merit increase until his or her overall rating reaches "Meets Expected Standards," or higher. If an employee is denied a merit increase, his or her performance evaluation must describe

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what action he or she must take in a specified time period for the supervisor to subsequently authorize a merit increase.

1. A merit increase granted under such circumstances shall not be retroactive.

2. An employee evaluation must be completed within 13 pay periods of the annual review date for the retroactive pay to be processed without Board of Supervisor approval.

F. Each department head is encouraged to establish a supervisory review process that ensures every relevant supervisor approves of the contents of a performance evaluation for an employee before it is presented to an employee. However, at a minimum, a department head or his or her designee must approve a performance evaluation before it is presented to an employee.

1. An employee may appeal any portion of his or her performance evaluation to his or her department head. If a department head is the supervisor who prepared the performance evaluation, the appeal may be made to the County Administrative Officer.

2. If the performance evaluation's overall rating is less than "Meets Expected Standards," by mutual agreement of the department head and the employee, the Personnel Director or his or her designee, and a bargaining unit representative may participate in the appeal meeting with the department head.

G. It is the responsibility of each supervisor to ensure that this policy is carried out for his or her employees. Each department head shall be accountable for administering this policy in his or her department.

H. Personnel is responsible for monitoring the timely submission of performance evaluations, and shall ensure that a department is complying with this policy. A performance evaluation that fails to provide a narrative, or fails to justify a rating below or above "Meets Expected Standard," or that otherwise fails to comply with this policy may be returned to the submitting department to correct the deficiency.

1001.5 ALTERNATE PROCEDURE

A. A department head may utilize the alternate procedure for the annual evaluation, described in this section, only if an employee has:

1. had regular full-time employment with the county for three consecutive years:

2. reached the highest step in the employee's range

3. on file an annual evaluation with an overall rating of at least "Meets Expected Standards," which was completed within the preceding 15 months; and

4. not had a significant change in duties.

B. If all of the criteria set forth in paragraph A are met, the department head may, after reviewing the employee's most recent performance evaluation, send a memorandum, which includes the signature of the department head, the employee's supervisor and the employee, to Personnel certifying that the ratings on the most recent performance evaluation are still

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appropriate. At a minimum, the text of the memorandum must read: "I have reviewed the most recent performance evaluation for this employee. The duties performed by this employee have not changed significantly in the past year. The ratings on that evaluation are still appropriate. This memorandum will serve in lieu of the annual performance evaluation for this evaluation cycle. An evaluation will be completed at the end of the next evaluation cycle. The current evaluation and this alternate procedure have been reviewed with the employee."

C. A supervisor must prepare a performance evaluation, in lieu of a memorandum, if an employee makes a written request for the evaluation within five business days of receiving the memorandum for signature.

D. This alternate memorandum procedure may be used no more frequently than every other year for any particular employee.

1001.5.1 RATINGS

A supervisor should rate an employee for each applicable criterion in a category, providing comments about specific conduct and examples of incidents which support the rating. All ratings require a narrative comment. In particular, a rating above and below "Meets Expected Standards" must be fully supported by evidence. An employee's performance must be rated within one of the following criteria:

Exceeds Standards

An employee is consistently performing above what is normally expected. Since a certain high level of performance is expected of all Shasta County employees, this rating should be used sparingly to indicate exceptional performance.

Meets Expected Standards

An employee is consistently performing well. An employee at this level is meeting the high level of performance expected of County employees. He or she is consistently meeting the agreed upon standards for his or her position.

Improvement Needed

An employee must improve his or her performance to achieve a "Meets Expected Standards" rating. Every employee has strengths and weaknesses in different aspects of his or her job performance, and this rating can be used to indicate a weakness. If a "Needs Improvement" rating has been given, a supervisor must formulate a "Performance Improvement Plan."

Unacceptable

An employee demonstrates substantial or serious weaknesses in his or her job performance. If a rating of "Unacceptable" has been given, a supervisor must formulate a "Performance Improvement Plan."

Weighted Categories

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Each department may weigh rating categories differently. If a department places a greater weight on any rated category, the "weighted" box on the PE must be marked. A supervisor should explain to an employee, upon hire or placement in a position, the nature of any weighted job criteria that may appear on a PE. It is a supervisor's responsibility to inform all employees under his or her supervisory control or direction of expected standards upon hire or placement. If weighted categories change, a supervisor should inform every affected employee of the change as soon as possible.

Rated vs. Non-Rated Categories

Dependant upon a department's business needs, as determined by the department head, certain performance categories may not be rated. Performance categories that are rated must be marked accordingly on the PE and addressed appropriately in the category narrative. Again, it is a supervisor's responsibility to inform all employees under his or her supervisory control or direction of rated categories upon hire or placement in a position. If rated categories change, a supervisor should inform every affected employee of the change as soon as possible.

Goals and Objectives

An Employee should be made aware of goals and objectives when first hired or placed in a position, and annually thereafter. As determined by the department head, each PE should include goals and objectives established for the employee by his or her supervisor for the next evaluation period. These goals and objectives should be selected to allow for opportunities for the employee to increase effectiveness in his or her position, as well as assist the department in achieving its mission. These goals and objectives may include (but are not limited to) lengthy or special projects, training, and ways to improve performance (if necessary), and will be evaluated annually under Category E of the PE.

Development Plan

Maintaining and improving good performance is a responsibility shared by both the employee and his or her supervisor. A PE should address an employee's development. An employee will benefit most from a development plan if the plan has several concrete ideas on how the employee can enhance his or her performance during the next evaluation period.

Performance Improvement Plan

A Performance Improvement Plan (PIP) is mandatory for an employee who has one or more category ratings of "Unacceptable" or "Improvement Needed." The PIP should include at least one category element for each rating below "Meets Expected Standards." To be effective, and in order to appropriately guide an employee in a deficient area of performance, a supervisor should describe, in clear terms, the performance problem, the standard of performance the supervisor expects the employee to meet, and the deadline for achieving that standard of performance. The PIP should describe all training, assistance and oversight that will be provided to an employee during the next evaluation period, and should set timelines for the employee's next performance review.

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Affirmation

While a PE is being discussed with an employee in a face-to-face meeting, a supervisor should use the time to review departmental and County policies and procedures. A department may add additional review topics, however, at a minimum, the County's Policy against Discrimination and Harassment (including sexual harassment) should be discussed with an employee on an annual basis. An employee should be asked to initial a statement confirming the nature of the discussion that took place between an employee and a supervisor.

Verification

The department head or his or her designee must review a PE before it is discussed with an employee. An employee's signature in the "Signatures and Review" section of the PE does not indicate agreement with the PE. The signature is intended only to acknowledge that the content of the PE has been discussed with an employee.

1001.6 USE OF THE EMPLOYEE PERFORMANCE EVALUATION FORM

A. Personnel has approved a standard evaluation form for all county employees (available in the appendix of these Personnel Rules and in electronic form). This form is used to evaluate an employee, unless Personnel has approved a modification to the form.

B. A supervisor must complete a narrative for each rated performance category. A narrative includes, at a minimum, a short paragraph detailing how the rating was determined.

1. If a department places greater weight on any individual rating factor in an identified category, the "weighted" box must be checked for the individual rating factor.

2. All ratings checked as "Improvement Needed" or "Unacceptable" must be addressed in a Performance Improvement Plan (PIP). To be effective, and in order to appropriately guide an employee in a deficient area of performance, a PIP must set forth, in clear terms, a description of the performance problem, the standard of performance the supervisor expects the employee to meet, and a deadline for achieving that standard of performance. A PIP should also describe all training, assistance and oversight that will be provided to an employee during the next evaluation period, and should set timelines for the employee's next evaluation period.

C. A Supervisor is strongly encouraged to set goals and objectives for each employee within his or her performance evaluation for the next evaluation period. Employee success in meeting assigned goals and objectives shall be addressed in the next subsequent evaluation.

D. A supervisor shall give an employee his or her overall performance rating and shall provide a narrative that describes the employee's job performance strengths and deficiencies for that evaluation period.

E. A supervisor is encouraged to utilize the Employee Development Plan to identify training, education, or relevant experience an employee might acquire to enhance his or her promotability and job satisfaction.

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1001.7 EVALUATION REVIEW

After the supervisor finishes the discussion with the employee, the signed performance evaluation is forwarded to the rater's supervisor (Division Commander). The Division Commander shall review the evaluation for fairness, impartiality, uniformity, and consistency. The Division Commander shall evaluate the supervisor on the quality of ratings given.

1001.8 EVALUATION DISTRIBUTION

The original performance evaluation shall be maintained in the employee's personnel file in the office of the Sheriff for the tenure of the employee's employment. A copy will be given to the employee and a copy will be forwarded to County Department of Human Resources.