



POLICY AND PROCEDURES

NUMBER: 115

SUBJECT: Performance Evaluations

ACA STANDARDS: 4-ALDF-2A-54

ACTING DIRECTOR: *Julia Childrey*

EFFECTIVE DATE: 7/1/84 REVISION DATE: 12/84, 2/87, 2/96
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I. POLICY

The St. Louis County Department of Justice Services shall utilize employee Performance Evaluations to assist administrators, supervisors, and evaluated employees in maintaining or improving productivity, determining promotions, and evaluating salary increases. Evaluations may also be used to examine transfers and training needs in order to improve an employee's performance.

II. RESPONSIBILITIES

All St. Louis County Department of Justice Services' Administrative and Supervisory staff are responsible for the following procedures.

III. DEFINITIONS

Anniversary Date: The date the employee begins service with the St. Louis County Government. This date is used to determine employee's length of service.

[Merit Date: *The day following the date the employee successfully completes the probationary period following employment or promotion. This date will be used when determining merit raises and could change with each promotion.]*

[Rater: *The employee's direct supervisor, with primary responsibility for developing the performance plan, communicating and clarifying expectations, documenting important performance events, providing feedback, preparing and conducting the interim review as necessary, preparing and conducting the performance appraisal, and preparing and monitoring goal setting and planning as necessary. The Rater is to ensure the Annual Appraisals are turned in on or before the due date.]*

Reviewer: The supervisor of the Rater, at least. Departments may designate additional reviewers for specific aspects of the system. For those under his/her purview, the Reviewer is responsible for ensuring appropriate consistency and equity of performance expectations among employees, monitoring Rater documentation and feedback practices, ensuring fair and documented performance appraisals and determining appropriate merit increases.

IV. PROCEDURES

A. General Information

1. Performance Evaluations shall be completed by the employee's immediate supervisor, (Rater) in accordance with the Civil Service Rules VIII and XIV.
2. When the employee's immediate supervisor has supervised the employee for less than four (4) months, the employee's prior supervisor will complete the Performance Evaluation. The immediate supervisor will send any needed input to the prior supervisor to assist in completing the evaluation.
3. Performance Evaluations shall be used for coaching employees, documenting an employee's performance, identifying the need for additional training or instruction and as a factor in recommending/approving promotions and raises.
4. If an employee is evaluated and has repeated performance problems, which results in a "No", in any performance expectation, a Goal Setting and Planning Form and/or an Action Plan will be developed, unless the employee has already successfully completed an Action Plan or resolved the performance problem. (See Policy #125 Employee Action Plans) Further Action Plans may be implemented whenever the supervisor believes that there is a need to improve an employee's performance in a specific area. Prior to an Action Plan, the supervisor will clarify performance expectations verbally and/or complete an Employee Counseling form. (See Attachment 3)

B. Performance Appraisal

1. The Department's designated Personnel Specialist (or other Department designee) runs a report of approaching personnel action (centered on Employee merit date); prepares and forwards Performance Appraisal form, Self Appraisal form, G.S.P. and UTO report to the division/unit six (6) weeks in advance of the merit date.

2. The Rater will send the employee the Employee Self-Appraisal form, and request the employee to complete the form and return it within one (1) week. The Rater will strongly encourage the employee to complete the Self-Appraisal form, however it is optional.
3. The appraisal requires the Rater to indicate either “Yes” or “No” in a specific job expectation. The “Yes” rating indicates performance which demonstrates consistent achievement of expectations and may exceed or occasionally fall short of requirements. A “No” rating indicates insufficient, inadequate and/or inconsistent performance which negatively impacts operations and the accomplishment of organization objectives.
4. The Rater is required to document the staff’s performance in the “Feedback” section of the Performance Appraisal. This documentation will include, but will not be limited to:
 - a. The number of unscheduled hours used by the staff member

NOTE: An employee with more than 40 hours of unscheduled time off will receive a “No” in the Attendance, Punctuality and Dependability Section of the Organization Wide Expectations
 - b. The number of times the staff member was tardy

NOTE: An employee with 9 or more tardies will receive a “No” in the Attendance, Punctuality and Dependability Section of the Organization Wide Expectations
 - c. The number of completed training hours
 - d. The employee’s goals
 - e. Any positive performance of the staff member
 - f. Any disciplinary actions taken.
- [5. The Rater completes the Performance Appraisal and forwards it to the reviewer *on or before the due date*, along with the Employee Self-Appraisal, the Training Hours Report, the Unscheduled Time Off Report, a pay step recommendation and the performance log for approval. The completed appraisal will include information from the following performance data:]
 - a. Performance Log
 - b. Employee’s Self-Appraisal

- c. Training Logs
 - d. Attendance Records (Unscheduled Time Off report).
6. Essential considerations for ratings which the Rater will consider for each employee will include the following:
- a. Performance pattern for the entire rating period
 - b. Significant events which have major or minor impact on the employee's overall rating
 - c. Circumstances which helped or hindered the employee in the achievement of duties and responsibilities
 - d. Relative importance of the rating category.
7. The performance log, the Training Hours Report, the Unscheduled Time Off Report and the employee's self-appraisal will be forwarded to the Personnel Specialist for tracking purposes and will then accompany the performance appraisals to the Justice Services' Administration for review.

NOTE: The employee training for the last calendar year will be rated in the Professional Traits and Characteristics Section. All evaluations will specify that "employees are to complete all required annual training" in the Feedback Section of the evaluation.

8. The Performance Appraisal is considered by the Reviewer(s) and a merit increase is determined. The appraisal with the determined merit increase then is forwarded to the Department's designated Office Services representative (or other Department designee) for tracking purposes.

NOTE: When the Reviewer is a member of the administrative staff, the rater will forward the Performance Appraisal to the Department's designated office Services representative (or other Department designee) for tracking purposes.

9. The Department's designated Personnel Specialist (or other department designee) will then forward the Performance Appraisal to the Administration staff for approval and the appropriate signatures. This will include the director of the Department of Justice Services.
10. The Department's designated Personnel Specialist (or other Department designee) will calculate the new hourly rate after the merit increase has been approved by the Director/designee. The approved appraisal and

merit increase will then be returned to the Rater. Merit increases must correlate with the overall (final) appraisal rating.

11. Any corrections to the appraisal will be made by the Rater and a new draft of the appraisal will be sent to the administration for review and signatures.
12. Upon receiving the appraisal with the signatures, the Rater and employee will establish an appointment for the appraisal conference. The Rater may provide a copy of the Performance appraisal to the employee at least twenty-four (24) hours in advance of the appraisal conference so that the employee can be prepared for the conference.
13. The Rater and employee meet to discuss the Appraisal and the goals for the next rating period. The employee signs the Appraisal and attaches any response. An employee has up to ten (10) day to submit a written response. (See Section D Appeals of Performance Appraisals) A copy of the appraisal is provided to the employee.
14. The Rater and employee discuss and revise the performance plan for the next appraisal period as appropriate. This may take place in a separate discussion.
15. The Reviewer will ensure the Performance Appraisal is forwarded to the Department's designated Personnel Specialist (or other Department designee) for copying, filing and forwarding to appropriate locations. For all merit increases, a Personnel Action form is completed by the Personnel Specialist (or other Department designee) and forwarded with Performance Appraisal to the Division of Personnel.

C. Rating Scale

Currently there is a wage freeze and no merit increases are given. Upon the freeze being lifted, the % of increase will be based on merit scale.

1. If a staff member receives a "Yes" in all categories, the staff member will automatically receive a five (5) % merit increase, unless the County enforces a wage freeze.
2. If a supervisor recommends more than a five (5) % merit increase for exemplary performance, the performance logs and "Feedback" section of the appraisal will list specific examples of commendable performance achieved beyond the normal job expectations. Performance at this level is rare and unusual. There will be no merit increase if the County enforces a wage freeze.

3. If a staff member receives one (1) “No” in any performance expectation, the staff member will receive no more than a three (3) % merit increase. For example, if a staff member has 49 or more hours of unscheduled time off in the rating period, no more than a three (3) % merit increase will be granted. The Rater will develop specific goals with accompanying deadlines using the “Goal Setting and Planning” form with a six (6) month review of goal achievement. The employee’s next merit opportunity will remain at 26 bi-weekly pay periods from the original merit date. There will be no merit increase if the County enforces a wage freeze.
4. If a staff member receives two (2) or more “No’s” in the performance expectations, the staff member will not earn a merit increase for that rating period. The Rater will develop specific goals with accompanying deadlines using the “Goal Setting and Planning” form. The Rater will schedule a subsequent review at six (6) months from the merit date, concurrent with a pay period, to review goal achievement with the potential for a merit increase. The employee’s next merit date is set 26 bi-weekly pay periods from the re-evaluation’s effective date.

D. Appeals of Performance Appraisals

1. Employees who disagree with their performance appraisal may submit a rebuttal to be placed in their file with the evaluation

indicating their reasons for disagreement with the evaluation. Employees desiring to appeal their evaluation must do so in writing within ten (10) days after receiving the Performance Appraisal. The channel of appeal is the chain of command.
2. The first step is a verbal discussion by the employee with the evaluating supervisor about the written evaluation.
3. If the issue remains unresolved, employees may pursue their appeal through the chain of command up to the Director.
4. If issues remain unresolved after the appeal has reached the Director, employees may appeal to the Civil Service Commission for a final ruling. The Civil Service Commission may permit employees to be heard, if so requested.
5. At each level of appeal (except to the Commission) action should be taken within ten (10) calendar days of receipt of the appeal.
6. If there is a delay in the action taken, a written response will be forwarded to the staff member stating the reasons for the delay.

E. Probationary Evaluation

- 1.** When hired by the Department, each new employee shall be required to satisfactorily complete a probationary period. This probationary period will be no less than six (6) months. Probationary periods may also be extended for six months for new employees.

NOTE: A new employee may be terminated for cause at any time during the probationary period.

- 2.** For a six (6) month probationary period, the new employee's Rater will complete an OJT Report or Field Training Officer Checklist followed by an interim evaluation at three (3) months (See Attachment 1) and a six (6) month probationary evaluation (See Attachment 2) from the date of employment. There will be no salary increase for new employees (an exception may be with Corrections Officers) after the six (6) months probationary period. The salary increase will be determined when the new employee has successfully completed one (1) year of employment. Corrections Officers will also receive a new merit date.

NOTE: When an Interim Evaluation is due, the designated supervisor will either make a copy of the Performance Appraisal from the Department's "shared" drive or request one from the Department's designated Office Services representative or designee. The supervisor will then place the word "INTERIM" in the section marked "ANNUAL/PROBATION" section of the Performance Appraisal. See Attachment 1 for an example.

- 3.** All interim evaluations (See Attachment 1) will be subject to a review by the appropriate Unit Manager or Superintendent I. All six (6) month probationary evaluations (See Attachment 2) for new employees will be subject to a review by the Division Superintendent and Assistant Director.
- 4.** Newly promoted employees will receive an interim evaluation by their Rater at three (3) months (See Attachment 1) and a probationary evaluation at six (6) months. (See Attachment 2) This will give the employee the opportunity to improve his/her performance, if necessary, before the end of the probationary period.
 - a.** It is the responsibility of the Manager/Supervisor to generate the three (3) month interim evaluations for new employees and for a newly promoted employee. (See Attachment 1)
 - b.** The Department's designated Personnel Specialist (or other Department designee) will send notices to the Divisions when all

of the six (6) month and annual evaluations are due. (See Attachment 2)

5. The Rater will inform the employee of any areas where improvement is needed and what will be expected of him/her during the upcoming rating period. The results of the probation evaluation determine whether permanent status is granted, probation is extended or the employee is dismissed.
6. If an employee is extended on his/her probation, an additional evaluation will be completed at the end of the extended probation period.
7. Copies of all completed evaluations shall be distributed to the employee, the Department personnel file and the Division of Personnel file.

F. Employee Performance Logs

1. Supervisors shall maintain an on-line Employee Performance Log, on each person under their direct supervision. A weekly entry on each employee is recommended
2. Supervisors shall track employee actions that have a positive or negative effect on the orderly operations of the facility.
3. It is the job of each supervisor to meet with each employee quarterly to discuss the information in the Employee Performance Log. Each meeting will be documented in the Employee's Performance Log.
4. The Employee Performance Log will be used to substantiate performance evaluations and to assist supervisors in targeting the employee's strengths and weaknesses.

G. Pay Plan Increases

1. Merit increases are based on the number of “Yes” and “No” ratings an employee receives on his/her annual Performance Appraisal.
2. Raters will enter the actual merit increase recommendation in the summary box. If the employee is at the maximum of the pay ranges, a zero (0) will be placed in the box.

NOTE: When the employee is at the maximum of the pay range, the supervisors will mention in the Feedback Section what increase would have been recommended.

3. All levels of approvals for merit increases will be obtained before the supervisor schedules the evaluation conference with the employee.

H. Reasons for Determining/Denying Salary Increases

1. An employee may be denied a salary increase if any of the following occur:
 - a. Employees has received significant disciplinary action involving letters of counseling, reprimand/caution, suspensions and/or Action Plan(s).

NOTE: Action Plans are to be used as performance enhancement tools.
 - b. The employee receives any inadequate or inconsistent performance rating
 - c. Employee has a negative attitude toward the County, his/her job, fellow employees, supervisors, inmates or citizens
 - d. Below average quantity of work, uniform appearance or personal hygiene. Employee is undependable, does not complete assignments on time and accurately
 - e. Requires daily supervision and direction to complete tasks. Supervisor must frequently repeat instructions and remind employee of his/her expectations
 - f. Has personality conflicts, is confrontational and disrespectful with fellow employees, supervisors, inmates or citizen, which is disruptive to the work effort and is a chronic complainer. His/her actions negatively affect staff morale
 - g. Poor quality of work. Regularly makes mistakes, which may not be significant with regard to the effect on the work effort but shows lack of responsibility
 - h. Refuses to accept change in procedures or administrative direction
 - i. Employee has no desire to improve regardless of the effort by others to help to give direction
 - j. Contributes little to the organization. Does not make suggestions for improvement

