

**FOND DU LAC COUNTY
POLICY & PROCEDURE GOVERNING
ANNUAL PERFORMANCE EVALUATIONS**

DATED: 3/2/2012

Introduction The County Executive has directed that all employees will receive an annual performance evaluation performed by their immediate supervisor. Departments will have the 2012-13 timeframe to implement their annual evaluation system. The evaluation will be based upon the duties, responsibilities, and performance standards established for the employee's position, and on specific goals and objectives that have been established for the employee.

Employees Covered All full time and regular part time employees of Fond du Lac County are covered by this policy. Elected officials are not included in this policy.

Purpose of the Evaluation Program The performance evaluation program is used for the following purposes:

- A. To recognize employee accomplishments and outstanding performance.
- B. To improve performance by describing strengths and weaknesses of employee performance, urging improvement of any weaknesses, and identifying areas where employees can gain additional knowledge and skills.
- C. To provide a link between the efforts of employees and their departments' strategic plans, and to provide a method of accountability to ensure the successful implementation of the strategic plan.
- D. To provide opportunities for employees and their supervisors to discuss and develop ongoing improvements in jobs and work processes.
- E. To counsel and to provide ongoing feedback to employees so that they have a clear understanding of their duties and responsibilities, the work of their department, and the objectives toward which they must strive.
- F. To reinforce employee corrective action plans and, when necessary, to serve as a preliminary step in the disciplinary process.

Frequency of Evaluations At a minimum, an employee's performance will be formally reviewed according to the schedule below. However, formal performance evaluations may be completed at any time to document significant events of exceptional performance or substandard performance.

Regular Employees

- A. Trial Period - at the midpoint during the trial period and at the time the employee completes the trial period.
- B. After Completion of the Trial Period -
 - 1. For represented and non-represented employees an evaluation will be performed annually.
 - 2. For non-represented employees - on an annual basis coinciding with their hire date.

All Other Employees

Temporary/Seasonal Employees - Formal written Performance Evaluations are not required for temporary employees. However, it is recommended that a brief written evaluation be performed on an annual basis or at the end of the season or term for which they were employed.

Formal Performance Evaluation Procedure At regular intervals as stated above, an employee's performance is to be evaluated and documented in written format by their immediate supervisor. All formal performance evaluations should include the elements outlined in this policy and should follow the Performance Management Cycle guidelines stated below.

Performance Management Cycle Guidelines The formal, written evaluation is only part of a larger performance management cycle. The stages of this performance management cycle are described below:

A. **Developing a Performance Plan** — At the beginning of each evaluation period, the employee and supervisor should meet and should mutually develop the performance factors, goals, and standards that the employee will be evaluated on during the upcoming evaluation period. The supervisor will make the final decision regarding the goals and standards to be used. A copy of this performance plan should be provided to the employee for their reference during the evaluation period.

B. **Observing Performance** — Over the course of the evaluation period, the supervisor should observe the employee's performance in relation to the content of the performance plan developed. Observation can be accomplished either by direct or indirect means.

C. **Documenting Performance** — Throughout the evaluation period, the supervisor and the employee should document specific examples of behavior or performance, both positive and negative, which relate to the content of the employee's performance plan. In addition, supervisors should document any significant conversations they have had with employees regarding their performance.

D. **On-Going Feedback** — Throughout the evaluation period, the supervisor should discuss with the employee any notable behaviors or performance, both positive and negative. These discussions should take place at the time the behavior or performance occurs.

E. **Preparing the Written Evaluation and Conducting the Performance Evaluation Meeting** — At the end of the performance evaluation period, the supervisor should complete the written or electronic evaluation form, and should assign individual and overall performance ratings. The written form should include specific examples of behavior that support the ratings assigned. The supervisor and the employee should meet to discuss the employee's overall performance.

Elements of the Performance Evaluation Program

Criteria for Evaluation Employees are to be evaluated on the basis of their overall performance since the previous evaluation using a combination of general performance factors, job-specific performance factors, and individual goals and objectives. These criteria will vary for each employee and are to be based on the employee's job duties and responsibilities. A standardized performance evaluation (paper or electronic) will be provided by the Human Resources Department for those departments that wish to use it. Departments are free to construct their own performance evaluation system if the sample does not meet their needs. Any evaluation system should conform to the guidelines in this policy.

A. General Performance Factors — These criteria address general areas of performance and are applicable to a wide range of employees. To ensure a degree of consistency in performance evaluations across the County, a standard set of general performance factors, and definitions for each, has been identified for specific groups of employees. However, a supervisor and employee may mutually agree to select other general performance factors from the full menu of factors that may be more appropriate to the employee's specific job. Alternatively, supervisors and employees may agree to forego evaluation of this section and incorporate the appropriate general factors in the other sections of the evaluation.

B. Job-Specific Performance Factors — These criteria address areas of performance that are specifically related to an employee's job assignment. These factors should represent the major ongoing duties and responsibilities of the employee's specific job. It is the supervisor's responsibility, along with input from the employee, to identify these factors and develop written standards of performance for them.

C. Goals and Objectives — These criteria address mutually agreed upon goals and objectives for the employee that is derived from several sources. First, goals and objectives can be developed from the department's strategic plan or other departmental projects. Second, goals or objectives can be developed to improve areas of performance that have been less than effective. Finally, the employee may have goals or objectives in the areas of personal or career growth.

Rating Scale and Definitions

Unacceptable - Performance is consistently below the minimum requirements needed to fulfill the principal duties, responsibilities, objectives and expectations of the position. Requires an unreasonable amount of supervision. Consistently fails to meet deadlines and standards of accuracy. Has been on the job long enough to show better performance.

Needs Improvement - Performance does not consistently meet all the major requirements needed to fulfill the principal duties, responsibilities, objectives, and expectations of the position. Requires more than a normal amount of guidance, supervision, or follow-up to assure that work assignments are completed adequately. Performance needs improvement in specific areas.

Meets Standards - Performance consistently meets requirements needed to fulfill the principal duties, responsibilities, objectives, and expectations of the position. Has demonstrated the ability to handle a wide variety of projects or assignments and is considered fully competent.

Exceeds Standards - Demonstrates ability to integrate a wide variety of skills to effectively solve problems and carry out duties, responsibilities, and objectives. Makes or recommends ongoing improvements in the performance of regularly assigned tasks, and in other related areas of the work unit or department.

Exceptional - Performance consistently exceeds the highest level of standards in handling all assignments. Acquires and demonstrates skills, abilities, and knowledge beyond what is expected for the position. Makes unique contributions to the department or other areas of the County which have substantial and significant impacts, outcomes, or solutions which are seldom matched by others.

Performance Evaluation Form It is recommended that all employees be evaluated using either the standardized County form or the NeoGov system. The performance evaluation form is attached at the end of this policy.

Program Responsibility It is the responsibility of department heads to see that the Performance Evaluation Program covering employees in their department is operating as designed. It is the

responsibility of the County Executive to see that the Performance Evaluation Program covering department heads is operating as designed.

Evaluator The evaluator is the employee's immediate supervisor. Evaluators are responsible for completing the performance evaluation for each employee under their supervision at the time interval prescribed. An evaluator may seek the input of any lead worker positions involved in controlling the work of employees and any other "internal" or "external" customers that the employee serves before completing the evaluation process. In addition, the supervisor will seek input from the employee being evaluated on goals and objectives.

Department heads are evaluated by the County Executive.

Setting Standards and Goals Performance standards should be identified for each job-specific performance factor that will be utilized in the evaluation. These standards should be specific, objective descriptions of the type and level of performance that is expected for each factor. These standards should clearly define how well a task must be performed in order to be considered effective. Where possible, elements of quality, quantity, and time should be included as part of the standards. In addition, when setting goals, each goal should include an action plan which outlines key steps and general time lines for completion of each step.

Observation and Documentation of Events Supervisors should observe the performance of their employees throughout the evaluation period using direct and/or indirect observation. Direct observation involves firsthand knowledge of an employee's performance; indirect observation is accomplished by reviewing tasks the employee has done after the fact. Supervisors should document significant favorable and unfavorable events in the employee's performance to use as an aid in completing the formal performance evaluation. When possible, significant events should be discussed with the employee when they occur. Employees should also keep track of their own significant performance events. This will aid employees in providing input to their supervisor prior to completion of the formal performance evaluation.

Performance Evaluation Discussion The evaluator will meet with the employee to discuss the evaluation and the employee's performance during the rating period. Discussions should include the strengths and weaknesses of the employee as indicated by the employee's performance, any significant events as they impact the evaluation, any corrective actions to be taken, and the supervisory focus of the next rating period. The employee will be given the opportunity to comment in writing on any aspect of the written evaluation. The employee's comments will be attached to the completed evaluation.

Signature Employees are requested to sign the original evaluation form, indicating that the evaluation has been discussed with them, it does not indicate their agreement with the evaluation.

Employee Participation Employee participation is strongly encouraged in the performance evaluation process. During the performance planning stage, supervisors should seek, and employees should provide, input to their supervisor regarding the evaluation factors to be used and the job standards identified. Throughout the evaluation process, employees should discuss with their supervisor any accomplishments they have achieved or any difficulties they encounter. Finally, employees can provide their own written comments on any aspect of the evaluation to be included as part of the formal evaluation document.

Report File The original evaluation form is filed in the employee's personnel file in Human Resources and a copy can be kept in the respective department. This document is not a public record, but is available for inspection under Chapter 103 of the Wisconsin Statutes relating to "Records Open to Employee."

Informal Performance Evaluation Procedure Informal performance evaluation involves any discussion, training, coaching, or counseling between supervisors and their employees. Supervisors should take advantage of informal contact to offer valuable feedback to employees regarding their performance, or to problem solve when necessary.

Training The Director of Human Resources is responsible for the overall administration of the Employee Performance Evaluation Program and will advise, assist, and train evaluators and department heads to ensure the evaluation procedures are handled in a fair and consistent manner.

FOND DU LAC COUNTY EMPLOYEE PERFORMANCE REVIEW

Employee Name _____
Position Title _____

Dept. _____

Type Review: Trial (3 Mos.) Trial Period (6 Mos.) Annual Reclass/Promotion

INSTRUCTIONS - IMMEDIATE SUPERVISOR: Please review the performance categories and related criteria listed below very carefully. Place an (X) in the box which most closely describes the employee's level of performance in each category. Identify shortcomings and expected improvements and/or strong points in the "Comments" section following each category.

1. JOB KNOWLEDGE: Consider how well the employee understands his/her work duties and obligations and the relationship of his/her job to the work of others in the department.

UNACCEPTABLE	NEEDS IMPROVEMENT	MEETS STDS	EXCEEDS STDS	EXCEPTIONAL
↓ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> ↓
Displays inadequate understanding of his/her job and its functions			Constantly demonstrates a superior knowledge of all elements of the job.	
Comments: _____				

2. EFFICIENCY: Consider the employee's productivity in terms of the volume and timeliness of completed work.

UNACCEPTABLE	NEEDS IMPROVEMENT	MEETS STDS	EXCEEDS STDS	EXCEPTIONAL
↓ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> ↓
Seldom meets expected work output within time constraints.			Constantly exceeds work output requirements, always completes work assignments on time.	
Comments: _____				

3. COMPETENCE: Consider how skillfully the employee performs his/her work in terms of thoroughness, accuracy.

UNACCEPTABLE	NEEDS IMPROVEMENT	MEETS STDS	EXCEEDS STDS	EXCEPTIONAL
↓ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> ↓
Work completed must be reviewed for accuracy. Close supervision required at all times.			Work performed is consistently of superior quality & achieved under little or no supervision.	
Comments: _____				

4. COMPREHENSION: Consider the employee's ability to understand and remember new information, methods, and procedures related to his/her job.

UNACCEPTABLE	NEEDS IMPROVEMENT	MEETS STDS	EXCEEDS STDS	EXCEPTIONAL
↓ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> ↓
Slow to grasp new information or instruction and often fails to retain what is learned.			Demonstrates an exceptional grasp and retention level.	
Comments: _____				

5. INITIATIVE: Is the employee resourceful in dealing with problems encountered with the day-to-day work involved in his/her position? Can he/she proceed even though supervision may not be immediately available?

UNACCEPTABLE	NEEDS IMPROVEMENT	MEETS STDS	EXCEEDS STDS	EXCEPTIONAL
↓ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> ↓
Reluctant or unwilling to proceed without specific instructions or supervision.			Demonstrates superior creativity and resourcefulness in performing daily work and dealing with encountered problems/situations	

Comments: _____

6. **ATTITUDE:** Consider how the employee gets along with fellow workers, supervisors, and public contacts and how he/she accepts constructive criticism.

UNACCEPTABLE	NEEDS IMPROVEMENT	MEETS STDS	EXCEEDS STDS	EXCEPTIONAL
↓ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> ↓
Regular tendency to cause dissension, adverse to constructive criticism and suggestions.			Excellent rapport with fellow employees, open to constructive criticism and suggestions	

Comments: _____

7. **RESPONSIBILITY:** How does the employee react when additional work and/or overtime is required to meet workload or deadline requirements?

UNACCEPTABLE	NEEDS IMPROVEMENT	MEETS STDS	EXCEEDS STDS	EXCEPTIONAL
↓ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> ↓
Reluctant to do more than is expected. Satisfied to complete minimum work required of the position.			Consistently displays willing readiness to accept additional work/overtime in order to get job done.	

Comments: _____

8. **JUDGEMENT:** Consider the employee's ability to reach appropriate conclusions or decisions utilizing a logical and rational thought process.

UNACCEPTABLE	NEEDS IMPROVEMENT	MEETS STDS	EXCEEDS STDS	EXCEPTIONAL
↓ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> ↓
Displays a very limited reasoning ability resulting in an ability to make appropriate decisions.			Displays an exceptionally sound reasoning ability resulting in consistently logical and rational conclusions and decisions.	

Comments: _____

9. **PUNCTUALITY:** Consider if the employee reports for work on time and whether he/she observes coffee and lunch break time limits.

UNACCEPTABLE	NEEDS IMPROVEMENT	MEETS STDS	EXCEEDS STDS	EXCEPTIONAL
↓ <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> ↓
Very lackadaisical, often tardy, usually fails to observe lunch and coffee break limits.			Exceptionally punctual. Faithfully adheres to break time limits at all times.	

Comments: _____

 Immediate Supervisor Date

1. List/Describe department and personal goals/objectives that have been met during the past 12 months:

2. List/Describe department and personal goals/objectives that have not been met during the past 12 months:

3. List/Describe department and personal goals/objectives for the next 12 months:

() This evaluation has been discussed with me.

() My additional comments are attached to this evaluation. (Due within 10 days of evaluation)

*

Employee

Date

* My signature above does not necessarily mean that I agree with this evaluation. It does, however, signify that it has been reviewed with me and I have had an opportunity to discuss any questions I may have had with my immediate supervisor.

DEPARTMENT HEAD REVIEW AND RECOMMENDATION:

I have reviewed this report and recommend the following action:

(Check type of report and appropriate recommendation where applicable.)

Trial (3 Month)

Annual Evaluation

Recommend Dismissal

Trial (6 Month)

Reclass/Promotion

Recommend Retention

Recommend Dismissal

COMMENT:
