

Evaluating Employee Performance

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| Objective: | To establish a system to promote communication between supervisors and staff, improve job understanding, and promote effective job performance and career growth. | Policy/Procedure Number: | 02-14 |
| Reference: (All applicable federal, state, and local laws) | | Effective Date: | August 10, 1993 |
| Legislative Policy Statement: | | Responsible Department: | Human Resources |
| General Information: | All employees will receive a review within 365 days of adoption of this policy. To assure the successful implementation of this policy, a series of orientation sessions will be offered to departments to enable each department to create or improve its ability to review employees' performance. Performance reviews should incorporate an employee self-evaluation to initiate pre-evaluation discussions. | Modified Date (s): | April 1, 1997; July 19, 2022 |
| | | Resolution No.: | 2022-132 |
| | | Next Scheduled Review: | July 2027 |

I. Definitions:

Goal - A general statement of the expectations of both the employee and supervisor in an area of responsibility. Resources in terms of training and other support services are identified. Typically, between three (3) and six (6) goals per position are appropriate.

Objective - A more specific statement of what the employee is expected to accomplish in an area of responsibility when provided with identified support services. Objectives should be stated in terms of the quantity, quality and effectiveness measures that define whether the goal has been accomplished. An objective is not a task or activity; it is what the task or activity is expected to accomplish.

Performance Evaluation - A formal collaborative discussion between employee and supervisor where job expectations, goals, areas in need of support and metrics to measure accomplishments are identified and clarified as needed. The process should be designed to encourage interactive discussions, periodic feedback and professional development and growth.

Promotion - Advancement to a position in a higher salary grade with greater responsibility regardless of department.

Promotion (Competitive) - Advancement from a lower grade competitive position to a higher grade position in a direct line of progression or competitive positions that have been determined by the Commissioner of Human Resources to be in related or collateral lines of progression.

Transfer - Movement from a position to another in the same, former or comparable title and/or the same salary grade as currently held.

Reclassification - The act of re-evaluating the nature of a position; re-defining the minimum qualifications and any special requirements (such as licenses, certifications, etc.) necessary to perform the essential functions of the job; redefining the distinguishing features of a position; re-defining the essential functions; re-aligning the typical work activities to be performed with reality; specifying the knowledge, skills, abilities, and personal characteristics necessary to be successful in the position; and allocating the position to an appropriate civil service classification and labor grade.

Upgrade - Assignment of a higher salary grade based upon an expansion of duties performed within the existing scope of a position

II. Policy:

- A. All Tompkins County employees will be evaluated annually on their job performance and adherence to the Tompkins County organizational values. The evaluation should incorporate employee feedback and periodic check-ins to measure accomplishments.
- B. New employees will receive information regarding the performance criteria upon which they will be evaluated at the time of hire during the departmental onboarding process.
- C. Pre-evaluation meetings are to be scheduled with employees.
- D. All employees designated by Department Heads as Supervisors with primary responsibilities for monitoring and evaluating work performance will receive an annual training on how to engage constructive employee feedback and conduct valuable and productive performance evaluations.
- E. When an employee is eligible for a promotion, transfer, reclassification and/or upgrade, past performance reviews should be one of the items considered in the process. Department Heads may request past performance evaluations from Human Resources when making such decisions.
- F. The County Administrator and the Commissioner of Human Resources shall review departmental compliance with this policy annually.

III. Procedure:

A. Performance Evaluation Criteria

1. Each department is responsible for developing internal standardized procedures to implement the Policy. The procedures shall be documented in the annual departmental workplan and/or Department Head evaluation conversation with the County Administrator or designee.
2. All permanent employees are required to be reviewed in writing by a Supervisor at least once per year, provided that regular check-ins with constructive feedback are being conducted between performance evaluations by means of frequent check-ins, monthly, quarterly, or at maximum the 6-month mark since the previous review.
3. Employees should be given the opportunity to complete a self-evaluation for discussion purposes to initiate evaluation.
4. New employees should receive shorter, more informal check-in evaluations at three (3) months and six (6) months. A full annual performance evaluation should be conducted with new employees between nine (9) and twelve (12) months after their initial appointment date.
5. The performance review of all Supervisors should address how well and how fairly they have complied with this performance review process.
6. The review is an opportunity for the employee and Supervisor to establish goals that contribute to the objectives and values of the department and the County as well as the skills and resources needed to accomplish those goals. The County Values to be evaluated are:

- *Integrity - We commit to honesty and uncompromising adherence to the Tompkins County code of ethics.*
 - *Accountability - We hold the organization and each other responsible for decisions that affect the public and our employees.*
 - *Equity - We sustain a workplace community that ensures fairness through diversity and inclusion, eliminates structurally oppressive systems, and builds trust, appreciation, and opportunities for all.*
 - *Respect - We embrace a safe and inclusive culture and treat others with dignity, understanding, and compassion.*
7. The review should also include professional development goals to enhance the employee's abilities.
 8. Sample evaluation tools will be provided detailing the criteria for review. Department Heads can add additional criteria as needed to meet the needs of their department.
 9. Annual training of Supervisors will be conducted by the Department of Human Resources.

B. Formal Evaluation Process

1. The performance evaluation is a process that begins with an interactive conversation between the employee and the Supervisor where job duties are clearly defined, goals, objectives, measurements of success and timelines are established by mutual consent. The need for resources, training and/or additional support services are also discussed and established by mutual consent.
2. Check-ins or mid-evaluation reviews should be scheduled to assess and discuss employee performance and progress against goals, proactively discuss any concerns and/or challenges, and collaboratively develop or modify action plans.
3. In preparation for the annual review, both the employee and the Supervisor should review and assess progress made in the achievement of stated goals. During the actual review, both versions should be shared and discussed prior to the finalization.
4. After the employee and the Supervisor have reviewed the completed evaluation tool, the evaluation shall be signed by the employee and the Supervisor to acknowledge the collaborative process of evaluation and receipt. Copies should be provided to the Department Head for review and signature.
5. The signing of an evaluation should be done in such a way as to avoid conflicting messages to the employee receiving the review or creating delays in the process. Signing of the review form by the employee does not necessarily indicate agreement with the content of the review but does acknowledge that the employee has received the review and had an opportunity to discuss it with the Supervisor.
6. An employee who disagrees with the content of their performance review should discuss the matter with their Supervisor. If it cannot be resolved with the immediate Supervisor, it should be taken to the next step, and, if necessary, through all levels of the department. Any conflicts remaining after the employee has been through the Department Head level should be referred to the

Commissioner of Human Resources or designee.

7. The signed performance review form and with any addendums or other supporting documentation shall be forwarded to the Commissioner of Human Resources for placement in the employee's official employment record. A copy of the signed performance review and any addendum shall also be kept by the employee and Supervisor.

C. Supervisor Responsibilities

1. The Supervisor must have substantial knowledge of the performance of the employee being reviewed.
2. The Supervisor shall keep dedicated files for periodic employee performance check-ins.
3. The Supervisor shall engage in constructive and interactive discussions with employee throughout the evaluation period.

D. Employee Rights and Responsibilities

1. Employees have the right and a responsibility to file an addendum if they have comments or complaints regarding their review.
2. The addendum will remain with the review document. An addendum is a written statement by the employee specifying the areas of disagreement and providing supportive documentation where available.



SAMPLE #1

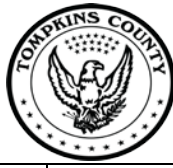
Employee Performance Review

Instructions: This form is designed to be completed by the supervisor, providing a performance review of key performance areas within the review period. All employees should be evaluated with consideration of how they perform with in relationship to the Tompkins County Organizational Values which include – *Respect, Accountability, Equity, Integrity*

- A. **Integrity** - We commit to honesty and uncompromising adherence to the Tompkins County Code of Ethics.
- B. **Accountability** - We hold the organization and each other responsible for decisions that affect the public and our employees in pursuit of excellence.
- C. **Equity** - We sustain a workplace community that ensures fairness through diversity and inclusion, eliminates structurally oppressive systems, and builds trust, appreciation, and opportunities for all.
- D. **Respect** - We embrace a safe and inclusive culture and treat others with dignity, understanding, and compassion.

| Employee Information | |
|----------------------|--|
| Employee Name | |
| Job Title | |
| Department | |
| Review Period | |

| Ratings | | | | | |
|---------------------------------------|---------|----------|------------------|----------|---------------|
| | 1= Poor | 2 = Fair | 3 = Satisfactory | 4 = Good | 5 = Excellent |
| Job Knowledge | | | | | |
| Comments | | | | | |
| Work Quality | | | | | |
| Comments | | | | | |
| Attendance/Punctuality | | | | | |
| Comments | | | | | |
| Productivity | | | | | |
| Comments | | | | | |
| Communication/Listening Skills | | | | | |
| Comments | | | | | |
| Dependability | | | | | |
| Comments | | | | | |



| | | | | | |
|--|--|--|--|--|--|
| Overall Rating (average the rating numbers above) | | | | | |
| Evaluation | | | | | |
| Additional Comments | | | | | |
| Employee Goals | | | | | |

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|--|--------------|
| Verification of Review | |
| By signing this from, you confirm that you have discussed this review in detail with your supervisor. Signing this form does not necessarily indicate that you agree with this evaluation. | |
| Employee Signature: | Date: |
| Supervisor Signature: | Date: |



SAMPLE #2

Employee Appraisal Form

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|-----------------------|--|
| Employee Name | |
| Employee Title | |
| Department | |

Instructions:

This form is designed to be completed by the supervisor, providing a narrative to review key performance, metrics in the following 8 areas during the (time to be reviewed) period.

1. **Job Knowledge** – Demonstrates skills and abilities to accurately perform assignments
2. **Work Quality** – Meets standards for quality and productivity; demonstrates accuracy, thoroughness, and neatness of work.
3. **Attendance and Punctuality** – Maintains an acceptable attendance record, i.e., on time arrival, maintains regular hours, complies with absence procedures, makes requests for leave time and submits reports and/or documentation for leave time in a timely manner
4. **Productivity** – Demonstrates accuracy and thoroughness for, and quantity of complete work products; Applies feedback received to improve outcomes. meets established or agreed upon deadlines.
5. **Communication Skills** – Communicates clearly in a manner that is conducive to completion of assigned tasks; Keeps appropriate people informed of job developments and/or problems.
6. **Dependability** - Takes responsibility for own actions; Accomplishes assigned tasks to a high standard within required timeframes; follows instructions and responds to supervisor's directions.
7. **Employee Development Initiative** - Monitors own work to ensure quality; Seeks education and training opportunities to improve job related skills, knowledge and abilities.
8. **Adherence to Organizational Values – Respect, Accountability, Equity, Integrity**
 - a. Integrity - We commit to honesty and uncompromising adherence to the Tompkins County Code of Ethics.
 - b. Accountability - We hold the organization and each other responsible for decisions that affect the public and our employees in pursuit of excellence.
 - c. Equity - We sustain a workplace community that ensures fairness through diversity and inclusion, eliminates structurally oppressive systems, and builds trust, appreciation, and opportunities for all.
 - d. Respect - We embrace a safe and inclusive culture and treat others with dignity, understanding, and compassion.



| Performance Metrics | Supervisor Feedback |
|---------------------------------------|---------------------|
| A. Job Knowledge | |
| B. Work Quality | |
| C. Attendance and Punctuality | |
| D. Productivity | |
| E. Communication Skills | |
| F. Dependability | |
| G. Employee Development Initiative | |
| H. Adherence to Organizational Values | |

The number of goals may be modified depending upon the employee and needs of the department. It is recommended that employees have three to five goals that reflect the responsibilities of the position.

| Performance Goals – How can the employee demonstrate improvement in the performance of the essential functions of their current position? |
|--|
| 1. |
| 2. |
| 3. |
| 4. |
| 5. |



Professional development goals are designed advance employee career's by expanding relevant skill sets and/or to improve work satisfaction.

| Professional Development Goals – How can the employee acquire additional qualifications or expand upon knowledge, skills and abilities to improve performance and/or satisfaction? |
|---|
| 1. |
| 2. |
| 3. |

By signing this form, you confirm that you have discussed this review in detail with your supervisor. Signing this form does not necessarily indicate that you agree with this evaluation.

| | | | |
|----------------------|-------------|---------------------------|-------------|
| | | | |
| Employee Name | Date | Employee Signature | Date |

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|--------------------------------|--|
| Supervisor Name (Print) | |
|--------------------------------|--|

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|-----------------------------|--|
| Supervisor Signature | |
|-----------------------------|--|