



CHAPTER: Career Development

SUBJECT: Performance Evaluation

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**RELATED POLICIES:
4.2001**

**ENABLING RESOLUTION: DATE: 11/08 08/09 10/13
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DEPARTMENT OF PRIMARY RESPONSIBILITY: HUMAN RESOURCES

SPECIAL NOTES: This Policy/Procedures Manual does not in any way constitute an employment contract. Sedgwick County reserves the right to amend this Manual at any time subject only to approval by the Board of County Commissioners and the Governing Body of Sedgwick County Fire District Number One.

I. Purpose

- A.** The Sedgwick County policy on performance evaluation and performance-based merit pay:
1. Supports the County's Mission to motivate employees and encourage excellence in public service.
 2. Provides for competitive and fair compensation, both internally and within the context of prevailing markets.
 3. Recognizes the contributions of individuals, teams, departments and divisions for organizational success.
 4. Provides equitable incentives and holds employees accountable for results by rewarding high performance.
 5. Allows the County to attract and retain qualified and productive employees.
 6. Is easily understood and administered.
 7. Complies with all legal, regulatory, and statutory aspects affecting compensation and benefits.
 8. Shall be administered in accordance with the County's financial resources.
- B.** As a result of the performance evaluation, performance-based merit increases are given to reward the following:
1. Meeting objective performance goals established in the last performance evaluation.
 2. Increased responsibility without a change in job classification.
 3. Improved performance.

II. Policy

- A.** All benefited employees shall have an annual performance evaluation. Compensation increases

shall be based on the results of the performance evaluation.

B. Part time and temporary employees will not be given performance evaluations.

C. Employee Performance Evaluation

Performance evaluation reviews are conducted annually to ensure all employees are given consideration. However, an evaluation does not guarantee a performance-based merit increase. The timing of merit reviews is subject to the following guidelines:

1. Employees will receive a performance evaluation and associated performance-based merit salary increase during Sedgwick County’s annual review process. The annual review process is when all eligible employees’ performance and salaries are reviewed in the same time frame. The evaluation year shall be November 1 – October 31 with final evaluations conducted in October.
2. Employees will be provided performance feedback at regularly scheduled intervals throughout the evaluation year.
3. Promotions, demotions, and transfers set the position date, but do not change the employee’s eligibility for the annual review and associated performance-based merit.
4. Transfers from Division to Division, will require the “leaving” Division to provide performance documentation to the “receiving” Division when less than six months remain till the next annual review. In all transfer situations, supervisors are encouraged to support each other with performance documentation of transferring employees.
5. Performance evaluation and performance-based merit may be delayed by the amount of time spent on an unpaid leave of absence granted by the County, except for Military Leaves. The minimum pay tier will be held for the Military leave when the absence creates an inability to evaluate the performance.
6. When an employee is absent due to Family Medical Leave or Workers Compensation during the completion of the annual review, the employee will receive the Performance evaluation as soon as administratively possible. The associated performance-based merit will be effective on January 1 and the pay increase is not delayed. The use of either or both types of leave shall not negatively affect an employee’s evaluation score.
7. When hired prior to January 31, new employees will receive an evaluation and performance-based merit increase during their first year of employment and will be eligible for the increase amount awarded to their tier. Employees hired February 1 – April 30 will receive an evaluation but if eligible for an increase, the performance-based merit increase amount will not be higher than the department’s third pay tier. Employees hired May 1 – July 31 will receive an evaluation but if eligible for an increase, the performance-based merit increase amount will not be higher than the department’s second tier. Employees hired August 1 or after will receive an evaluation but if eligible for an increase, the performance-based merit increase amount will not be higher than the department’s minimum (first) pay tier. The following year, the employee receives the evaluation and associated performance based merit increase per the budget guidelines.

D. Increase Amounts

1. The performance-based merit increase amount will be based on an employee's overall (total) performance evaluation rating and the financial budgetary guidelines for the given fiscal year. An overall non-supervisory performance evaluation score of 16 or higher will be eligible for a performance-based merit increase. An overall supervisory performance evaluation score of 22 or higher will be eligible for a performance-based merit increase. (Please see table for Department of Corrections performance tiers.) Regardless of the final evaluation score, a rating of Does Not Meet Expectations on any factor will make the employee ineligible for a performance-based merit.
2. Each department's Employee Performance Evaluation scores will be split in to four performance and pay tiers. A pay deviation will be set for each Pay Tier with the Department Head and a representative from the Division of Human Resources. The performance tiers are:

Performance Tier	Evaluation Score Non-Supervisory	Evaluation Score Supervisory	Evaluation Score Dept of Corrections Non-Supervisory	Evaluation Score Dept of Corrections Supervisory
Tier IV	32 – 29	44 – 39	88 – 80	128 – 114
Tier III	28 – 24	38 – 33	79 – 66	113 – 96
Tier II	23 – 20	32 – 27	65 – 55	95 – 78
Tier I	19 – 16	26 – 22	54 – 44	77 – 64
No Pay Change & Performance Improvement Tier	15 – 0 or Does not meet score	21 – 0 or Does not meet score,	43 – 0 or inadequate score	63 – 0 or inadequate score & PIP
Performance Improvement Tier	Partially meets score	Partially meets score	27 overall or inadequate score	39 overall or inadequate score

3. Completion of a Performance Improvement Plan will not implement a merit increase.
4. A merit increase will be added to the employee's base salary when the employee's salary is below maximum of the range. When the employee is at maximum of the range or above, the merit will be paid separate from the base salary and will not compound from year to year. The merit will be paid as Performance Pay. A merit increase may raise the base salary up to the maximum of the range and if the full merit being awarded is not yet met, the employee will also be paid the separate amount outside of the base salary. For example, if the employee is one (1) percent from maximum of the range and receives a four (4) percent performance-based merit, three (3) percent of the merit will be paid as Performance Pay and will not compound.

5. Performance-based merit will become effective January 1. Each department's merit salary pool will be based on the current positions in the Department and the approved merit budget percentage. Open positions will continue to be budgeted at the minimum of the salary range, but vacant positions will not be included in the merit pool for setting the pay tiers.
6. The County Manager shall retain authority to designate increase amounts for the purpose of organizational compensation equity, not to exceed the maximum percent increase allowed for the performance year.

E. Performance Improvement Plans

1. The Performance Improvement Plan is mandatory for:
 - a. Any performance evaluation that results in a single rating of Partially Meets Expectations or a single rating of Does Not Meet Expectations.
 - b. Evaluations with a total score of 15 or below for non-supervisory employees.
 - c. Evaluations with a total score of 21 or below for supervisory employees.
 - d. Please see table above for performance tiers for the Department of Corrections.
2. The Performance Improvement Plan should include improvement goals and completion timeline of any Primary Job Responsibility and/or Effectiveness Factor(s) receiving a Partially Meets Expectations rating or a Does Not Meet Expectations rating.
3. If a non-exempt employee receives a rating of Does Not Meet in any category, the employee will be placed on probationary status for a period of one to six months.
4. If an exempt employee receives a rating of Does Not Meet in any category, the employee must complete a Performance Improvement Plan within six months.
5. During this period, any employee receiving a rating of Does Not Meet in any category serves at the pleasure of the appropriate hiring authority and may be terminated for any reason not prohibited by Federal or State Law.
6. The Performance Improvement Plan should summarize any specific improvement goals necessary for continued employment.

III. Procedures

- A.** All benefited employees shall have an annual performance evaluation. The evaluation shall be:
 - conducted by his/her supervisor
 - conducted during the annual review timeframe (November 1 – October 31)
 - documented on the Employee Performance Evaluation Form.
- B.** For non-supervisory positions complete parts I; II; III; VI; VII and VIII of the Employee Performance Evaluation form. For supervisory positions complete parts I; II; III; IV; VI; VII and VIII. Complete part V only if evaluation results require a Performance Improvement Plan.
- C.** At the beginning of the 12 month review period the supervisor and employee should list the five Primary Job Responsibilities of the employee's position. Under each Primary Job

Responsibility, the performance goals/expectations should be identified. The supervisor and employee should discuss the performance measurements of each Primary Responsibility prior to the rating period.

- D. Standards for Performance Effectiveness Factors should be established at the beginning of the annual review timeframe.
- E. The supervisor and employee will meet at least quarterly to discuss the employee's performance. Quarterly review dates should be established in the department. The supervisor will document observations regarding the Primary Job Responsibilities and Performance Effectiveness factors throughout the review period. Quarterly review dates should be documented on the Employee Performance Evaluation form.
- F. At the end of the annual review period the supervisor will assess and rate the employee's performance regarding each Primary Job Responsibility and Effectiveness Factor. The supervisor should justify ratings in writing (no matter what the number) by addressing areas of strengths as well as areas for improvement and/or growth in fulfilling the job responsibilities.
- G. Supervisors are encouraged to work with each employee to complete a Training and Development Plan. The Training and Development Plan allows the supervisor and employee the opportunity to identify developmental projects to be completed, specific training or skills to be obtained, discuss long-term career goals and the necessary steps to achieve the goals.
- H. The supervisor and employee will review the evaluation. A copy of the evaluation will be provided to the employee. The employee may make any comments at that time or prior to the end of the next scheduled workday, or as agreed by the supervisor, in writing. The comments will be attached to and become part of the evaluation.
- I. Evaluations and distributions must be made prior to the due date noted on the front of the Employee Performance Evaluation.

IV. Evaluation Appeal Process

- A. Employees who strongly disagree with the performance evaluation may appeal by submitting a written request to the supervisor of the evaluation reviewer within seven (7) business days of the date the ratings were discussed (date on the last page). Copies of the appeal shall also be sent to the evaluator and the reviewer.
- B. For evaluations where the Department Head is the reviewer, the Division Director shall hear the appeal. If the Division Director is the reviewer or in departments where there is no Division Director, then the County Manager, Elected Official or Appointed Official shall assign a neutral reviewer to hear the appeal.
- C. The employee's written appeal must state in one typed page or less the perceived problem and desired remedy.
- D. The individual handling the appeal shall determine the merit of the appeal and render a written decision within seven (7) business days to the employee and supervisor.
- E. If an employee does not agree with the appeal hearer's decision and the decision was not made by an assigned neutral reviewer from outside of the employee's department, he/she may appeal

to the County Manager, Elected Official or Appointed Official who will assign a neutral reviewer from outside of the employee's department.

- F.** Decisions rendered by a neutral reviewer from outside the employee's department will be provided to the County Manager, Elected Official or Appointed Official for final determination. This decision will be deemed final. The manager will inform the employee and the department of his final decision. The written appeal and decision will be attached to and become part of the final evaluation.
- G.** Employees may utilize the Sedgwick County Grievance Procedure in cases of alleged illegal discrimination.