

# Salt Lake County Human Resources Policy 6-100: Performance Development and Improvement Plans

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## **Purpose**

This policy implements and manages employee performance development and improvement within Salt Lake County.

## **I. Policy**

Salt Lake County will maintain an employee performance development and improvement plan to ensure it is in line with county and agency expectations. The process will include a department common review date that includes an annual evaluation that will document past performance and future expectations.

## **II. Procedures**

- A. The Human Resources Division will establish a common performance review date for the purpose of developing a Performance and Development Plan that includes the performance and development process and form authorization with comprehensive on-going education and training about the process.
- B. Supervisors will initiate an Employee Performance and Development Plan for each merit employee on the common review date.
- C. The Employee Performance and Development Plan will include:
  1. A review of the job description;
    - a. The supervisor and employee will review the job description to make sure it accurately reflects the essential functions and responsibilities of the position.
    - b. If a revision is needed the supervisor will work with agency management and the Human Resources Division to initiate a position classification review.
  2. Job performance expectations;
    - a. Supervisors, in conjunction with the employee, will set observable and measurable expectations that are in line with agency and County goals.
    - b. Expectations are based on responsibilities of the position and include objectives, outcomes, behaviors and special assignments.
  3. Development goals; and
    - a. The supervisor and employee will determine development goals at the beginning of the performance period. The employee may request training or additional resources.
  4. Quarterly performance reviews.
    - a. Employees and their supervisors will meet at least quarterly to discuss performance.
    - b. The supervisor will provide detailed feedback, verbally and in writing, on whether expectations are being met.
    - c. The supervisor may adjust the [Performance and Development Plan](#) as needed.
- D. Annual Performance Appraisal

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1. Supervisors will complete an annual performance appraisal for each employee based on a common one-year rating period. Employee anniversary dates will not be impacted through this process.
  - a. A common review date does not affect accrual for retirement service credits, seniority accrual or leave accrual.
2. The appraisal will include an overall numerical rating and will include a narrative of the employee's performance in relation to the Employee [Performance and Development Plan](#).
3. The division, department or elected office will forward a copy of the completed [Annual Performance Appraisal Form](#), including attachments, to the Human Resources Division by the due date, provide a copy to the employee, and retain a copy for the division or supervisor personnel file.
4. The Human Resources Division will notify each division director when they have not received appraisals within 30 days of their common review due dates.
5. Department directors and elected officials will be notified of any appraisals that have not been received by the Human Resources Division within 60 days of their due dates. The Human Resources Division will authorize any merit increase approved by the County Council for that year if the appraisal is not received within a 75 day period.
6. The Human Resources Division will not take action if there is a pending grievance relating to work performance during the appraisal period or if the employee was unavailable for evaluation during the 75 day period.
7. Performance Appraisal Ratings
  - a. Performance appraisal ratings will consist of the following five rating levels:
    - i. Exceptional Performance (5.0)
    - ii. Surpasses Expectations (4.0)
    - iii. Meets Standards (3.0)
    - iv. Needs Improvement (2.0)
    - v. Unacceptable (1.0)
  - b. Each performance objective will be assigned a weight that reflects the time and/or value represented by that performance objective. Weights for all of the performance objectives will total 100.
  - c. The overall appraisal rating is calculated by:
    - i. multiplying the rating level achieved for each objective by the weight assigned to the expectation
    - ii. adding the resulting individual rating totals together
    - iii. dividing by 100
  - d. Managers will be evaluated on their ability to supervise their subordinates. Performance objectives will include planning, assigning and reviewing work, hiring and promoting, training, discipline and termination. This portion should be weighted a minimum of 15% of the overall weight.
  - e. Supervisors will discuss appraisal ratings with employees and provide employees an opportunity to comment.

The rating level for the overall appraisal will be determined by the following scale:

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4.25 +	Exceptional Performance	Employee consistently exceeds performance expectations for the position
3.75 – 4.24	Surpasses Expectations	Employee meets and often exceeds the performance expectations for the position
3.0 – 3.74	Meets Expectations	Employee satisfactorily fulfills the basic performance expectations for the position
2.0 – 2.99	Needs Improvement	Employee satisfactorily fulfills only some of the performance expectations for the position
1.0 – 1.99	Unacceptable Performance	Employee does not meet performance expectations for most essential functions

- f. Employees may submit written comments regarding their annual appraisal to their supervisor within fourteen calendar days of the evaluation. The supervisor will forward the comments to the Human Resources Division to be placed in the employee's personnel file (official).
  - g. Employees who are rated 1 or 2 in a specific performance objective will be provided with a written performance improvement plan by their supervisor and a copy of the [HR Policy 3-500 Grievance Procedure](#)
  - h. Employees who receive an overall rating of 2.99 or less may file a grievance in accordance with the provisions of HR Policy 3-500 Grievance Procedure
  - i. Supervisors will complete and sign [Annual Performance Appraisal Forms](#).
  - j. Employees will acknowledge receipt of the appraisal with a signature or the supervisor will document an employee's refusal to sign.
  - k. The administrator and any intermediate level supervisor deemed appropriate by the Division, Department or Elected Office will approve and sign the Annual Performance Appraisal Form.
  - l. Prior to final submittal authorized administrators may, after consultation with the employee and supervisor, propose changes to ratings.
    - i. The administrator will inform the employee in person regarding any changes.
    - ii. If ratings are changed, a new [Annual Performance Appraisal Form](#) will be completed, signed and submitted.
- E. Exceptions to the performance and development process described above are as follows:
1. Probationary Appraisals (Non-Sworn): Probationary employees will receive an appraisal prior to six months of service. If a probationary appraisal is not processed within six months of employment, the employee will automatically receive merit status. The probationary appraisal score is considered in the calculation of retention points for purposes of a Reduction in Force (RIF).
  2. Promotion, Demotion, Reassignment and Transfer: When an employee changes to a different position during the appraisal period, the former supervisor will complete an appraisal for the time period the employee was under the supervisor.

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3. Change in Supervision: When supervision changes during an appraisal period, the former supervisor should complete an interim appraisal. The new supervisor should complete an appraisal for only the time period the employee was under that supervisor.
4. Pro-Rated Appraisals: In situations where appraisals are conducted by more than one supervisor, the scores should be pro-rated according to the number of weeks each appraisal represents.
  - a. The formula for such a pro-rated score is the sum of the score for each evaluation multiplied by the number of weeks in the appraisal period divided by the total number of weeks.
  - b. The following is an example of a pro-rated score:

	Weeks of Supervision	Appraisal Score	Total
Supervisor A	22	4.12	90.64
Supervisor B	30	3.75	112.5
			203.14
203.14/52 weeks = <b>3.90</b>			

- c. If the appraisal score is pro-rated, the supervisor will record the formula and results in a format similar to the above example in a [memo](#) to be attached to the [Annual Performance Appraisal Form](#). The Annual Performance Appraisal Form, memo and interim appraisal forms will be forwarded to the Human Resources Division.
- F. Performance Improvement and [Performance Improvement Plan](#)
  1. Performance Improvement may be used by supervisors before or in conjunction with progressive discipline. Performance Improvement may include counseling, training, mediation, coaching, verbal warnings, or the imposition of a Performance Improvement Plan.

### III. References

- A. County Personnel Management Act, Utah Code 17.33.1-16
- B. Salt Lake County Human Resources Policies:
  1. 1-200, General Definitions
  2. 2-100, Employee Status
  3. 3-400, Discipline
  4. 3-500, Grievance Procedure
  5. 4-200, Leave Practice