



PERSONNEL RULES

EMPLOYEE PERFORMANCE PERFORMANCE EVALUATIONS

§7101

Overview: A performance evaluation is intended to be a fair assessment of an employee's performance over a defined period of time. A performance evaluation allows for a two-way, face-to-face discussion between the supervisor and employee, with the purpose of giving and receiving feedback, clarifying job duties, stating expectations, and setting goals for the coming year.

Applicable to: All employees. Elected officials are not evaluated by the County.

Definitions: Corrective Action Plan – A plan of objectives, training, supervisor check-ins, job shadowing, or other activities developed by the supervisor to improve on areas of weakness. This may also be known as a performance improvement plan (PIP).
Development Goals – Areas in which the employee can take steps to improve work that is relevant and specific to building professional knowledge, skills, and effective working practices.
Development Plan – Suggestions, objectives, training, supervisor check-ins, job shadowing, or other activities assigned to the employee to meet development goals.
Probationary Employee – An employee serving an initial probation period.
Probationary Status – The status of an employee who is serving a probationary period of the position and/or class in which the employee is currently employed following either an initial appointment or promotion.
Regular Employee – One who occupies a permanent position whether part-time or full-time. A regular employee is an employee who has successfully completed the probationary period.
Self-Evaluation – The process of evaluating one's own performance or actions.
Supervisor File – A confidential file maintained by a supervisor which contains information or documents relative to a specific employee for the purpose of conducting performance evaluations, progressive discipline, or recognition.

Guidelines: Performance evaluations are an opportunity to provide employees with feedback as to the employee's work performance and the alignment of such to County and departmental goals. Supervisors are responsible for discussing with all employees the expected standards of conduct and performance by which the employee's performance will be evaluated.

Supervisors must be aware of the objectives of the department, their own individual roles in achieving these objectives, the purpose of performance evaluations, and the process of fairly and impartially evaluating the work performance of employees. Performance expectations should be in line with the essential functions of the employee's classification specification and align with the County or departmental mission, vision, goals, objectives, and initiatives. Performance expectations should be measurable and achievable.

It is important for supervisors to keep in mind that employees have certain protections under Federal and State laws. For instance, Federal and State laws protect

employees from retaliation and discrimination for exercising their right to take a job protected leave of absence related to a serious medical condition. Similarly, employees are protected from retaliation under Federal and State laws for engaging in union activities without interference from County management. Therefore, supervisors shall not reference an employee's medical condition, medical leave information, an employee's engagement in a protected union activity, or any other activity protected by a Federal or State law within a performance evaluation.

It is in the best interest of all parties to communicate performance expectations frequently. As part of the process of continuous feedback, performance ratings should never be a surprise to an employee. To the extent possible, individual performance issues should be identified and addressed as they occur or as soon as reasonably practical thereafter.

Frequency

Performance evaluations can be given for a variety of reasons. Annual performance evaluations are most common; however, performance evaluations shall also be given during probationary periods or as part of a performance improvement plan/corrective action plan. Regardless of the reason, supervisors must ensure performance evaluations are completed timely and ratings are related to job performance and applied consistent as to job expectations.

Regular employees shall be evaluated in writing annually or more often as outlined in this rule. The annual rating period is typically established in accordance with the employee's salary anniversary date. However, if an employee was on a leave of absence during the evaluation period, the evaluation period may be adjusted in order to provide a more thorough review. The supervisor is not relieved of the duty to perform an annual performance evaluation based on the employee reaching the top step of their salary range.

Probationary employees shall be evaluated in accordance with the applicable Memorandum of Understanding (MOU) prior to attaining regular status.

Frequency for Merit System Services Employees

Employees working in the Department of Social Services and the Department of Child Support Services are governed by Merit System Services (MSS). MSS employees serving a six-month probation period are required to be evaluated in writing at least twice during their probation period, once within the first three months, and once within the three-to-six-month period. Employees serving a twelve-month probation are required to be evaluated in writing at least three times during their probationary period; once in the first four months, again in the four-to-eight-month period, and again in the eight-to-twelve-month period.

For Department of Social Services, the six-month probationary evaluations will occur at the 3-month period and the 5.5-month period. For those serving a 12-month probation period, the third evaluation will occur at the 11.5-month period. Department of Social Services performance evaluations and timelines are outlined in department policy and procedure: Performance Evaluations, Expectations and Timelines.

For Department of Child Support Services, the six-month probationary evaluations will occur at the 3-month period and the 6-month period. For those serving a 12-

month probation period, the third evaluation will occur at the 12-month period. Department of Child Support Services performance evaluations and timelines are outlined in the department policy and procedure: Performance Evaluations.

Preparing the Performance Evaluation

The importance of a well prepared, thorough, timely, and honest performance evaluation cannot be overstated. Performance evaluations should be part of an ongoing dialogue between the supervisor and the employee. Supervisors should establish a routine method to observe the employee's performance throughout the year ensuring to include every aspect of the employee's job duties in the observation.

Formal performance evaluations for regular and/or probationary employees must be completed on the Tehama County Employee Performance Evaluation form. Prior to completing the form, supervisors should review the rating criteria. Supervisors should also review the employee's job duties, goals listed on the employee's previous performance evaluation, training completed and any documentation in the supervisor file applicable to the evaluation period. Reference TCPR §1202: Personnel Files regarding the purpose, accessibility, and retention of a supervisor file.

Employees shall be rated for each criterion listed on the Employee Performance Evaluation form. The supervisor shall provide comments about specific behaviors and examples of incidents under each section / category which support the rating. In evaluating the employee, the supervisor shall rate based on work performance, considering applicable policies, Personnel Rules, and work standards applicable to the essential functions of the employee's classification and assignment.

Counseling/Confirming Memos issued during the evaluation period shall not be attached to the performance evaluation. However, incidents related to the memo may be noted. Letters of Reprimand and Letters of Recognition shall be included in the performance evaluation.

When an employee fails to meet established performance expectations and has areas rated as "Unsatisfactory" or "Needs Improvement," the Corrective Action Plan section of the Employee Performance Evaluation form must be completed. The Corrective Action Plan shall clearly state the problem or weakness in a level of detail sufficient to be understood by the employee, previous attempts to improve the performance, if any, what constitutes acceptable performance, and the consequences of continued unacceptable performance. In addition, the Corrective Action Plan shall list plans, objectives, training, supervisor check-ins, job shadowing, or other activities that may aid in improving the employee's professional knowledge, skills, and effective working practices.

Once the Employee Performance Evaluation form is completed, supervisors shall follow the department's internal review process prior to presenting the performance evaluation to the employee.

Performance Evaluation Meeting

The employee to be evaluated shall be advised in advance as to the time and place of the performance evaluation discussion with the employee's supervisor.

Prior to presenting the final draft of the evaluation to the employee for the employee's signature, the supervisor shall discuss the contents of the evaluation with the affected employee and answer any questions the employee might have about the evaluation. The employee shall sign only the final version of the evaluation which shall be signed by the Department Head or designee. Where performance does not meet standards, the supervisor shall review the Corrective Action Plan with the employee. The goal of the Corrective Action Plan is to improve the employee's performance.

The employee must sign the Employee Performance Evaluation form acknowledging the employee has read the contents, the performance has been discussed, and the employee has received a copy of the form. If the employee refuses to sign the Employee Performance Evaluation the supervisor will document the refusal and the employee is subject to discipline. The employee's signature does not necessarily mean they agree with the contents of the evaluation.

A copy of the completed and signed Employee Performance Evaluation form shall be provided to the employee and the Department Head with the original document sent to the Personnel Office to be placed in the employee's personnel file. An employee may review the contents of their personnel file in accordance with TCPR §1202: Personnel Files and Labor Code 1198.5.

Opportunity for Employee Written Response

An employee dissatisfied with the written performance evaluation who wishes to supplement the performance evaluation may provide a separate written response. The written response will be attached to the Employee Performance Evaluation form and placed in the employee's official personnel file. The written response must be signed, dated, and submitted to the employee's supervisor. A copy shall also be provided to the Department Head. An employee shall not have the right to file a grievance regarding the contents of the performance evaluation.

Provisions Specific to Department Heads/Directors

Department Head /Director performance evaluations will be completed in accordance with the employee's classification specification and the applicable employment contract. The performance evaluation shall be completed annually and in accordance with the employment contract.

Procedure: Responsibilities for implementation, application, and enforcement of this rule are listed below.

Employee An employee who wishes to attach a written response to the Employee Performance Evaluation form shall submit a signed and dated document to their supervisor or designee.

Supervisors The employee's direct supervisor shall:

- Discuss the expected standards of conduct and performance with the employee, including any specific job requirements relative to the employee's position.
- Establish a routine method to observe the employee's performance throughout the year.
- Maintain a supervisor file in accordance with TCPR §1202: Personnel Files
- Ensure performance evaluations are completed in a timely manner.

- Complete the Employee Performance Evaluation Form and the Corrective Action Plan, if applicable.
- Meet with the employee to discuss the performance evaluation.
- Complete training related to preparing and presenting performance evaluations.

The next level of supervision (if applicable) shall:

- Review the Employee Performance Evaluation form completed by the employee's direct supervisor.
- Sign and date the form acknowledging the review has been completed.
- Submit the form to the Department Head for final review.

Department Head The Department Head shall:

- Review the Employee Performance Evaluation form completed by the employee's direct supervisor and reviewed by the next level of supervision (if applicable).
- Sign and date the form acknowledging they have completed the review.
- Ensure the final Employee Performance Evaluation form and response is forwarded to Personnel.

Personnel Office The Personnel Office shall:

- Review employee performance evaluations to ensure they meet the standards and requirements outlined in this rule.
- Place the performance evaluation and any written responses from the employee in the employee's official personnel file.

Required Forms: Employee Performance Evaluation form, Department Head Performance Evaluation Form, Department Head Appraisal Self-Evaluation Form

References: TCPR §1202: Personnel Files; Labor Code 1198.5 inspection of personnel files;

Effective Date:

The provisions of this Code shall not supersede any state law, federal Law or current collective bargaining agreement between an employee organization and Tehama County. The provisions of these Codes shall not preclude specific County departments from developing operational policies and procedures.