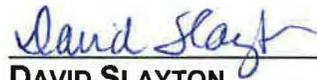


OFFICE OF COURT ADMINISTRATION

PERFORMANCE PLANNING AND EVALUATION SYSTEM
FOR
HEADQUARTERS AND COURT COLLECTIONS EMPLOYEES



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Performance Planning and Evaluation Policy for Headquarters and Court Collection Employees

Purpose:

The objective of the Performance Planning and Evaluation system is to provide a forum for ongoing communications and collaboration between each employee and the employee's supervisor, which emphasizes success in the performance of the employee's duties and supports the employee's professional development. In addition to providing an assessment of the employee's job performance during the evaluation period, the evaluation process is designed to identify training and staff development needs of the employee, to develop any necessary corrective actions to be taken by the employee and/or supervisor, and to plan or modify job tasks, performance standards, and goals for the next evaluation period. In this process, it is paramount that each employee understands and appreciates how his or her efforts can contribute to the mission of the agency. The Performance Planning and Evaluation system will be administered equitably without regard to race, color, religion, age, sex, national origin, or disability.

Required elements of the Performance Planning and Evaluation system:

1. **Functional job description:** Each job description will identify the essential job functions of the position as related to the agency mission.
2. **Performance standards:** Each essential job function of the job description will have job standards that delineate concrete, realistic expectations for the employee's successful fulfillment of the job function.
3. **Performance planning and evaluation document:** This instrument serves as the mechanism by which performance and core dimensions of a job are measured and communicated.
4. **Collaboration:** The employee and the supervisor will collaborate in planning for and assessing the employee's job performance in support of agency goals and standards, and in outlining steps for the employee's professional growth.
5. **Training and Development:** The performance evaluation system will assist both the employee and manager in identifying employee strengths and developmental needs. The Employee Development Plan should be used to list developmental activities that will improve the employees' current job performance in support of agency goals and standards.

While there are other components of the system, these five elements are essential to the overall success of the planning and evaluation process.

Key Staff Responsibilities in Administration of the System:

- Employees: Employees are expected to know the duties and responsibilities of their positions and are expected to participate openly and professionally throughout all phases of the performance planning and evaluation process.
- Supervisors: Supervisors and managers are expected to take a leadership role in modeling and fostering an environment of collaborative communication with each of their employees. Additionally, it is the responsibility of each supervisor to initiate and complete performance appraisals in a timely manner for each employee supervised.
- Human Resources: Human Resources will establish and maintain a tracking system to assist supervisors in ensuring each employee's evaluation is completed annually. Human Resources will monitor the timeliness of submissions of evaluations and will notify appropriate management of pending evaluations.

Policies and Procedures for the System:

Developing Functional Job Descriptions

Job descriptions will be discussed and reviewed within ten (10) working days after the date of employment of a new employee or the date a current employee transfers into a different position in the agency. This job description and these job tasks and performance standards form the basis on which the employee is to be evaluated. A copy of the job description is provided to the employee, and to Human Resources.

Performance Evaluations Schedule

Evaluations: All current employees shall be evaluated by their manager at least once every year. Performance evaluations must be discussed and reviewed with the employee. Exception: Employees who report directly to the Administrative Director will be evaluated informally by the Administrative Director, as appropriate.

Transfer employees: Current employees transferring into a different position at the agency, through competitive selection, will have a close-out evaluation, including a performance evaluation conference, with the former supervisor. This evaluation is due within 10 days of the transfer.

Performance Evaluation Ratings: Performance evaluations should be based directly on the job tasks and performance standards as noted on the employee's job description. The ratings include:

- **Exceeds Standards:** Employee consistently performs duties in a manner above that which is normally expected or required.
- **Meets Standards:** Consistently meets expectations. Fully competent valuable employee.
- **Meets Most Standards:** Meets most expectations. Used as a developmental aspect to address a new or experienced employee's performance in learning new areas. Also used to address performance deficiencies or instances where an employee's job performance has regressed.
- **Does not meet Standards:** Failed to achieve results expected; deficient in meeting key expectations. Improvement needed to reach competent level.
- **Not Applicable:** Incumbent does not perform task related to standard OR factors outside of incumbent's control prevent meaningful measurement; seasonal or cyclical aspects of the task minimize appropriateness of the task during the evaluation period.

Overall rating: Total performance rating of all tasks combined during the evaluation period, using the above ratings. These combined ratings will take into consideration performance for all the tasks, relative to the priorities placed on each and the criticality of the performance standard(s) placed on each task.

Coordination prior to performance evaluation conference: Prior to the employee conference, the supervisor/manager will provide a draft performance evaluation to the division director to allow opportunity for further input with regard to the employee's performance.

Performance Evaluation Conference: The performance conference should be scheduled in advance, selecting a time that is mutually convenient to the employee and supervisor. Typically, one hour should be set aside for the conference. Care should be exercised to ensure there are no interruptions, and the conference should be conducted in an office or another private area. The purpose of the conference includes:

- recognizing employee accomplishments and finding opportunities and means toward better job performance where needed;
- discussion of the results of the evaluation, emphasizing the strong points in the employee's performance followed by any comments about weak areas or areas of poor performance;
- employee comments about the evaluation, which may include verbal communication about the evaluation;

- ratings, citing as much as is possible specific examples of work or products which support the employee's actual performance;
- opportunity for the employee to provide specific examples of accomplishments, proficiencies, (While this portion of the evaluation conference should not be characterized as a "negotiation" conference, the supervisor may consider any additional information and may choose to modify or amend the evaluation.)
- a brief final summary of the evaluation ratings for each of the employee's job tasks, concluding with the overall rating. Particular attention to a discussion of counsel, guidance, or suggestions regarding corrective action(s) necessary to improve specific performance areas is required;
- opportunity to modify job functions and performance standards for the next evaluation period.

Employee Comments and Signature on the Evaluation Form. Although not required, an employee is encouraged to provide written comments on the performance evaluation. Evaluations are to be signed by the employee and the appropriate managers. The employee's signature on the evaluation form is required but does not necessarily constitute agreement with the supervisor's evaluation. In the event an employee refuses to sign the evaluation, the manager should write on the employee signature line that the evaluation was presented and reviewed with the employee and the employee refused to sign the evaluation.

Administrative Director Review and Acknowledgment of Employee Evaluations. After completion of the evaluation form and the performance evaluation conference, the supervisor shall forward the completed ORIGINAL of the evaluation form to the Administrative Director, through the management chain, for review, additional comments if appropriate, and signature. The Administrative Director's review and signature do not constitute approval or disapproval of the performance evaluation, but are simply acknowledgment that the agency head has reviewed the substantive content of the evaluation document. Upon signature by the Administrative Director, the original evaluation is forwarded to Human Resources for filing in the official personnel file. A copy of the signed evaluation will be forwarded to the employee.