

# Sheriff's - 2019 Supervisor's Training



## Performance Appraisals

# Agenda

Policy and Procedures

Types Appraisal and Process

Timelines /Extensions/Guidelines

Probationary Periods

Non-Retention

Appeals

Electronic Appraisal Submission

# Policies and Procedures







**County Policy (DHR 1003) - Supervisors need to provide employees performance appraisals on a regular basis.**



**Civil Service Rule V and Sheriff's Policy  
and Procedure 3.5.**

**Appraisals will be completed TIMELY.**

# Types of Appraisal

Have Passed Probation

- o Annual
- o Supplemental

While on Probation

- o Monthly
- o Mid Probation
- o Final Probation



# Appraisals Timelines

```
graph TD; A[Appraisals Timelines] --> B[30 Calendar Days  
Supervisor Must Issue 30 Calendar Days After End of Rating Period]; B --> C[5 Calendar Days  
Employee Review/Sign the Performance Appraisal]; C --> D[Really 25 Days  
So Employee Can Sign];
```

**30 Calendar Days**

Supervisor Must Issue 30 Calendar Days After End of Rating Period

**5 Calendar Days**

Employee Review/Sign the Performance Appraisal

**Really 25 Days**

So Employee Can Sign





*Guidelines*



# Guidelines

Know when it's Due

Plan time to Write Appraisal

Gather Documentation

Solicit Input from Employee

Prepare a Draft for the Reviewer

Reviewer reviews BEFORE providing to Employee

# Guidelines

Performance **ONLY** in the Rating Period

Entire Rating Period, not just the last Few Months,

Supporting Documentation

Areas Regularly and Directly Observed.

Halo and Horn Effect



# DO NOT INCLUDE

Personal Opinion

Personal Information

(Race, Disability, Age, Sex, Religion, etc)

Medical Information

Past Performance

# Employee Performance Appraisal Process





# Supervisor receives Appraisal 45 days in Advance

**Supervisory Responsibility:** If you have not received the appropriate form contact the Personnel Performance Management.

- a. <https://ssp.sdsheriff.com/HRB/Personnel/Employee%20Performance%20Measurement/default.aspx>

**Tip: Add a Calendar Appointment for a reminder for all your Staff's Appraisals**

# Review Documentation

**Ask for Employee and Previous Supervisor for Feedback .**

- o Review the Station File for the Rating Period
- o Gather all Log Events
- o Review assignments, achievements, commendations, training, and documentation
  - o Was all required training completed on time?
  - o Review the status of previous goals, if the goal was completed, or not completed, why?



# Draft Appraisal

## Supervisory Responsibility:

- o Draft the appraisal, review employees training record, assignments and projects, accomplishments, goals from the previous rating period.
- o If there is a high or low rating - Justify It.

**Tip:** Was the employee supervised by someone else? Or in another unit? Ask the previous supervisor for input.

# Tip: Writing the Draft

- o NO Surprises to the Employee.
- o If any items that were addressed that the employee needed to improve upon are included, be sure that:
  - o The matter has been discussed with the employee
  - o There is documentation that justifies the need for improvement
  - o The need for improvement is justified with the appropriate rating

**Tip:** Consult with HR if there are any questions.





# Active IA Investigation

**Situation:** Employee has a current IA investigation.

**Supervisor Responsibility:** The Appraisal forms should not address an IA investigation until completed.





# Sustained Completed IA

**Situation:** Employee had a sustained IA.

**Supervisor Responsibility:** The supervisor can indicate:

" Employee had a sustained IA for Policy Section ### and received a....."

# Send to Reviewer

## Supervisory Responsibility:

- ✓ Make sure you and the Reviewer agree with the ratings
- ✓ Think about it as if it was yours and your were going to appeal it – Ask yourself if you could defend it?
- ✓ Consult Command and/or HR if a rating will be not meeting standards

**Tip:** Include the timeline for the reviewer to ensure you remain within the deadline.



# Meet with the Employee

## Supervisory Responsibility:

- a. Review the draft with the employee in private. (LISTEN)
- b. Consider their input. Make changes if needed.
- c. Have your documentation ready to support your rating.
- d. Share written appraisal with employee
- e. Develop and agree on professional growth opportunities

**Tip: Nothing should be a surprise to the employee. If something was not previously addressed with the employee, it probably should not be in the appraisal.**



# Finalizing

## Supervisory Responsibility:

- ✓ Make appropriate changes to the draft
- ✓ Review the suggested changes with the reviewer, finalize the appraisal.
- ✓ Provide the finalized appraisal to the employee for signature.
- ✓ Provide the finalized appraisal to the employee within 30 days of the end of the rating period.

**IMPORTANT: The employee has 5 days to consider the Evaluation.**

What  
Happens  
Next?



# Employee Signs

```
graph TD; A[Employee Signs] --> B[Employee electronically signs the appraisal and sends to rater.]; B --> C[Rater electronically signs the appraisal and sends to the Reviewer]; C --> D[Reviewer signs the appraisal. Sends the electronic appraisal via email to Personnel.];
```

Employee electronically signs the appraisal and sends to rater.

Rater electronically signs the appraisal and sends to the Reviewer

Reviewer signs the appraisal. Sends the electronic appraisal via email to Personnel.



# Employee Refuses to Sign

```
graph TD; A[Employee Refuses to Sign] --> B[Rater writes, "Employee refuses to sign" on the employee signature block.]; B --> C[Rater and Reviewer sign the appraisal.]; C --> D[Rater scans and sends the electronic appraisal via email to Personnel, employee and supervisor. The hard copy can be mailed to Personnel.];
```

Rater writes, "Employee refuses to sign" on the employee signature block.

Rater and Reviewer sign the appraisal.

Rater scans and sends the electronic appraisal via email to Personnel, employee and supervisor. The hard copy can be mailed to Personnel.

# Employee Wants to Appeal

```
graph TD; A[Employee Wants to Appeal] --> B[Employee electronically signs the appraisal in the "Appeal" section and emails the signed appraisal to the rater.]; B --> C[Rater electronically Signs the Appraisal, emails the Reviewer and Copies the Employee.]; C --> D[Reviewer signs the Appraisal and Sends to Personnel, Employee and Supervisor.]; D --> E[Personnel provides the Appraisal to the Appeals Coordinator to start the Appeal Process.];
```

Employee electronically signs the appraisal in the "Appeal" section and emails the signed appraisal to the rater.

Rater electronically Signs the Appraisal, emails the Reviewer and Copies the Employee.

Reviewer signs the Appraisal and Sends to Personnel, Employee and Supervisor.

Personnel provides the Appraisal to the Appeals Coordinator to start the Appeal Process.

# Employee Wants to Write a Rebuttal

```
graph TD; A[Employee Wants to Write a Rebuttal] --> B[POBR, Department Policy and SEIU MOA provide for the ability for an employee to write a rebuttal]; B --> C[The employee provides the written rebuttal to the Rater or Personnel.]; C --> D[Rater reviews the rebuttal and addresses the items in the rebuttal.]; D --> E[The Rebuttal is emailed to the Performance Appraisal.]; E --> F[Personnel attach's the rebuttal to the appraisal and files in the Personnel file and sends to DHR for the employee's Master Personnel File.];
```

POBR, Department Policy and SEIU MOA provide for the ability for an employee to write a rebuttal

The employee provides the written rebuttal to the Rater or Personnel.

Rater reviews the rebuttal and addresses the items in the rebuttal.

The Rebuttal is emailed to the Performance Appraisal.

Personnel attach's the rebuttal to the appraisal and files in the Personnel file and sends to DHR for the employee's Master Personnel File.



# Employee Wants to Seal the Appraisal



```
graph TD; A[Employee Wants to Seal the Appraisal] --> B[Civil Service Rule V - Employees requests the Civil Service Commission to seal their appraisal.]; B --> C[Civil Service Commission decides if it should be sealed - 1 time in 10 years]; C --> D[Refer any questions the employee may have to Employee Relations or Civil Service Commission.];
```

Civil Service Rule V - Employees requests the Civil Service Commission to seal their appraisal.

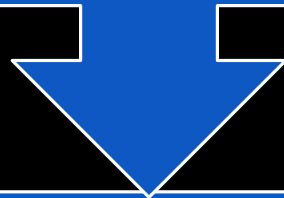
Civil Service Commission decides if it should be sealed -  
1 time in 10 years

Refer any questions the employee may have to Employee Relations or Civil Service Commission.

# Personnel's Responsibility



Personnel enters the completion information into PeopleSoft.



The appraisal is emailed to County HR with a copy to the employee for the Employee Master file.

# Supplemental Performance Appraisal

## When an Employee:

- Has Significant Performance Changes
- Transfers, Terminates, Promotes or Retires
- Has not received a Performance Appraisal for the Regular Cycle





# Probationary Period Basics

- Evaluate if Employee is Fully Qualified to do the Job.
- Did we provide the Proper Training?
- Regularly Meet with Employee about their Performance and Document
- Complete Monthly's and any Additional Training Evaluations done by Trainers



# Extension of Probationary Periods

# Probationary Extension Basics


Typically – Done for Approved  
Absences or Limited Duty



**BEFORE** the end of the Final Rating Period.



Final Probation is Extended,  
Not Mid, 1st or 2nd Six Months



Contact - Sworn- Career Path Sergeant  
Contact - Professional - DHR0



# Probationary Extension Basics

Notify DHR0 or Career Path Sergeant



Career Path or DHR0 - Determines New Date.  
Prepares Letter for Employee



Supervisor gives Letter to Employee



Employee Signs



Email to the Performance Management Contact



**Non-Retention / Failure of Probation  
(Don't wait until the last minute)**

**Non-Retention / Failure of Probation**

```
graph TD; A[Non-Retention / Failure of Probation] --> B[Significant Unresolvable Performance Issues]; B --> C[Multiple Discussions with Employee / Manager]; C --> D["(1# ER Question) - Log Entry and MODs ?"]; D --> E[Discuss with Command / Employee Relations];
```

**Significant Unresolvable Performance Issues**

**Multiple Discussions with Employee /  
Manager**

**(1# ER Question) - Log Entry and MODs ?**

**Discuss with Command / Employee  
Relations**



# Monthly Appraisal Process

- All Probationary Employees receive monthly appraisals.
- Same Process as Mid- Probation, Final Probation and Annual Appraisal Process.
- Ensure Communication between the Supervisor and Employee.
- Basis for Formal Performance Appraisal.
- Should address any Good and Bad Performance
- Supervisors Responsibility to Track Due Date.

# Monthly Appraisal Process – Evidence/Proof

- Nothing should be a Surprise to the Employee.
- Needs Improvement?
  - Discuss with the Employee
  - Document to Justify Rating

# Monthly Appraisal Process – Improvement Needed?

- Review Everything
- What is being done to train the employee to learn the job?
- Was all required training completed on time?
- If the employee is a supervisor, were all Performance Appraisals completed and on-time?
- What is expected of the employee at this point in the probationary period?
- Did the employee have a TO or trainer? Review the training notes, dailies or weeklies.



# Monthly Appraisal Process – Same as Regular Process

- Have you done enough to bring the employee to a Standard Level?
- Low Ratings - Consult your Command and/or HR
- Sends Draft Reviewer
- Meet Privately with Employee
- Make Changes, if Needed

# Monthly Appraisal Process – Done

- Employee has 5 days to consider the Evaluation
- Monthly Reports are Not Appealable.
- Employee can Refuse to Sign and Write a Rebuttal.
- Send to Personnel

# Employee Performance Appraisals



Approved Leave or Limited Duty



# Approved Leave or Limited Duty with or with or without TAD DURING Rating Period

The original supervisor is responsible for completing the appraisal, but should ask the TAD supervisor for input.

Appraisal Statement: "Employee was on approved leave/  
Limited Duty from DATE to DATE."

Medical information should never be documented on a  
Performance Appraisal form

The reason for the leave or limited duty is not included.

## Approved Leave **WHOLE** Rating Period

**Supervisor Responsibility:** "Employee X was on approved leave for the entire rating period of ##### and therefore cannot be rated." DO NOT give the reason they were out.

**Rater and Reviewer:** Sign and Date appraisal. In the employee signature, write "Employee not available for signature". Submit appraisal to Personnel.

## Approved Leave **Through the END** of the Rating Period

**Employee is on approved leave through the end of the rating period, and into the next rating period.**

Example: Rating Period 1/1/17-12/31/17

Approved Leave: 9/1/17-2/1/18

**Supervisor Responsibility:** Rate the employee based on the duties they performed when working. Include a sentence "Employee X was on approved leave ### to ###. Hold on to the review until the employee returns to work.

**When the employee returns to work,** the Supervisor is required to present the appraisal to the employee within 3 days. Submit to Personnel.



# Employee Performance Appraisals



Appeals

# Appeal Process

- Send to Performance Management contact immediately upon receipt.
- There are strict timelines.





# You've Been Selected as the Appeals Officer.

- The Appeals Coordinator will contact you with specific instructions and timelines.
- Employee Relations assists with Process

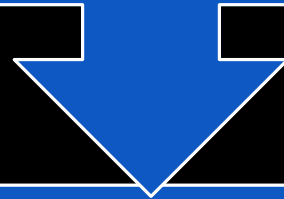




# Electronic Performance Appraisals



Send electronic copy to  
[performance.reviews@sdsheriff.org](mailto:performance.reviews@sdsheriff.org)



Use the following format to title EPRs: last name, first  
name\_PeopleSoft ID  
(ex: Doe, Jane\_012345)

