



CHESTERFIELD COUNTY ADMINISTRATIVE POLICIES AND PROCEDURES

Department: Human Resources
Subject: Employee Development Program

Policy Number: 6-5
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I. INTRODUCTION

This Administrative Procedure provides guidelines for the administration of the Employee Development Program (EDP) and is applicable to all County employees (with the exception of employees classified as elected officials, seasonal and/or temporary and part-time paid at a fixed rate).

The Employee Development Program has five major objectives:

- A. Align individual and team behavior with the County's vision, mission and strategic plan through the use of performance factors and competencies.
- B. Provide for a consistent employee development and performance management process.
- C. Promote productivity by clarifying job expectations and monitoring employee performance.
- D. Promote communication between supervisors and employees.
- E. Provide guidance for personnel actions, such as merit increases, promotions and employee development.

The County's mission, vision, values and core competencies are the foundation for how we achieve business results. Developing and improving performance is a continuous process. The Employee Development Program provides an opportunity for the employee, with their supervisor, to assess work skills and to initiate a developmental plan for continuous improvement. Open and constructive communication is highly valued in this process.

II. DEFINITIONS OF TERMS

- A. **Employee Development Program** – An open communication process where the supervisor and employee mutually evaluate the employee's performance and determine methods to achieve developmental goals.
- B. **Core Competencies** – A group of related, demonstrable knowledge, skills and abilities that influence the job performance of all County employees.
- C. **Behavioral Statement** – A statement of measurable, job-related responsibilities that defines a performance factor or competency.
- D. **Individual Development Plan** – Part of the EDP used to plan development activities, define helpful resources and people, establish time frames and define successful results.
- E. **Performance Factors** – Job specific criteria that identify how well an employee is performing in their position
- F. **Performance Improvement Plan (PIP)** – A written plan designed to clarify job expectations and outline a process to improve performance or behavior of an employee. A PIP generally will include a timeline for improvement.
- G. **Forms**
 1. **EDP-1, Employee Development Program Form:** Form used for annual performance review that includes the following sections: Description of Job Performance; Overall Performance Rating; Performance Planning; and Individual Performance Plan.

2. **EDP-2, Leadership Development Program Form:** Form used for annual performance review which may be used in lieu of EDP-1 for executives, directors and senior managers.
3. **EDP-3, Performance Report (EDP-PERF)** - Form used to document both positive and negative employee performance. Copies must accompany the completed EDP form. This form may be used to document counseling but should not be used to document discipline.

III. PROCEDURES

A. General

Department directors are to ensure that all participants using the Employee Development Program receive the required training. New supervisors, within 30 days of employment or appointment to the new position, shall contact the Learning and Performance Center to schedule Employee Development Training for Supervisors. Supervisors will complete an EDP form on each employee at least annually, unless the employee has just completed their initial probationary period or promotional probationary period.

1. General Government Employees - EDP forms are due to HR by January 1, which is the common merit date for non-sworn employees. However, when necessary, supervisors may review their employees within three months before and three months after January 1. In any case, EDPs are due to HR no later than April 1. A special review may be conducted at any time during the evaluation year if there are concerns about the employee's performance. Merit increases are effective the first day of the last pay period in January each year. EDP forms for employees who are not meeting performance expectations and who will not be awarded a full merit increase must be forwarded to HR no later than December 1, so they do not receive a merit increase they are not entitled to.

Probationary employees shall be provided an EDP form by their supervisor within three months of hire to inform them of position expectations. Employees in their initial probationary period will receive a formal performance evaluation on their first anniversary date, although feedback should be given throughout the probationary period. Employees are not eligible for a merit increase during their initial probationary period but may be eligible for an administrative increase on the first day of the last pay period in January. Upon completing the initial probationary period, the employee will be eligible for any merit increase on the first day of the last pay period in January of the next fiscal year. Initial probationary employees who have not met the basic performance requirements of their job during the probationary period shall not attain permanent status.

Employees in a promotional probationary period shall receive a formal performance evaluation on their first anniversary date in the new position, although feedback should be given throughout the probationary period. Employees in a promotional probationary period may be eligible for a merit increase on the first day of the last pay period in January. Promotional probationary employees who have not met the basic performance requirements of their job during the probationary period shall not attain permanent status in their current position.

For employees who had EDPs completed during the calendar year at the conclusion of their initial or promotional probationary period, the timing of their probationary EDP will determine when their first January 1 EDP should be conducted. If the initial or promotional probationary EDP was completed between July 1 and December 31, then the supervisor does not need to complete another EDP for that employee until January 1 of the following calendar year. (For example, if John's probationary EDP was

completed on October 27, 2021, then his supervisor is not required to complete another EDP for John until January 1, 2023.) If the probationary EDP was completed between January 1 and June 30, then the employee should have an EDP completed by January 1 of the following calendar year. (For example, if John's probationary period EDP was completed on March 1, 2021, at the end of his first year, then his supervisor must complete another EDP for John by January 1, 2022.) Employees completing the initial or promotional probationary period may have an evaluation period of less than or more than twelve months to synchronize the probationary evaluation with the January 1 evaluation period.

2. Sworn and Uniformed Step Plan Employees - Supervisors will complete an EDP form on each employee at least annually, unless the employee has just completed their initial probationary period or promotional probationary period. EDP forms are due to HR by July 1. However, when necessary, supervisors may review their employees within three months before and three months after July 1. In any case, EDPs are due to HR no later than October 1. A special review may be conducted at any time during the evaluation year if there are concerns about the employee's performance.

EDP forms for employees who are not meeting performance expectations and who will not be awarded a step increase must be forwarded to HR no later than June 1, so they do not receive a July 1 increase they are not entitled to.

Probationary employees shall be provided an EDP form by their supervisor within three months of hire to inform them of position expectations. Employees in their initial probationary period will receive a formal performance evaluation on their first anniversary date, although feedback should be given throughout the probationary period. Employees are not eligible for a step increase during their initial probationary period, but may be eligible for an administrative increase on July 1. Upon completing the initial probationary period, the employee will be eligible for any step increase on July 1 of the next fiscal year. Initial probationary employees who have not met the basic performance requirements of their job during the probationary period shall not attain permanent status.

Employees in a promotional probationary period shall receive a formal performance evaluation on their first anniversary date in the new position, although feedback should be given throughout the probationary period. Employees in a promotional probationary period may be eligible for a step increase on July 1. Promotional probationary employees who have not met the basic performance requirements of their job during the probationary period shall not attain permanent status in their current position.

For employees who had EDPs completed during the fiscal year at the conclusion of their initial or promotional probationary period, the timing of their probationary EDP will determine when their first July 1 EDP should be conducted. If the initial or promotional probationary EDP was completed between January 1 and June 30, then the supervisor does not need to complete another EDP for that employee until July 1 of the following calendar year. (For example, if John's probationary EDP was completed on April 27, 2020, then his supervisor is not required to complete another EDP for John until July 1, 2021.) If the probationary EDP was completed between July 1 and December 31, then the employee should have an EDP completed by July 1 of the following calendar year. (For example, if John's probationary period EDP was completed on September 7, 2020, at the end of his first year, then his supervisor must complete another EDP for John by July 1, 2021.) Employees completing the initial or promotional probationary period may have an evaluation period of less than or more than twelve months to synchronize the probationary evaluation with the July 1 evaluation period.

An evaluation must also be completed prior to an employee transferring or being promoted to a position in a different department. The evaluation may be in the form of a short memorandum, rather than the completed EDP form. For employees transferring to a position with similar duties in the same department, the department should coordinate the evaluation internally (e.g., both supervisors exchange relevant information in order to complete the employee evaluation).

B. County Values, Performance Factors, and Competencies

The EDP overview and form includes a listing of County values (e.g., Ethical Behavior, Customer Service) the three performance factors (Job Knowledge and Skills, Quality and Quantity of Work, and Dependability) and eight competencies (Planning and Organizing, Customer-Focused Service, Communication, Cooperation and Interpersonal Skills, Adaptability, Leadership, Continuous Learning and Diversity).

Prior to the beginning of the evaluation period and again at mid-year, the supervisor and the employee shall review County values, performance factors, competencies, behavioral statements, and job specific standards, if applicable, and make appropriate changes.

C. Documentation

Documentation is the most important factor in determining and supporting evaluation ratings. This task is the essence of sound performance management. Performance should be discussed with the employee when there are problems as well as when performance exceeds expected levels. These discussions should occur throughout the evaluation period. Documentation should be done on a timely basis with a copy of the documentation going to the employee. Copies of all documentation completed during the appraisal year shall accompany the completed EDP form when it is submitted to HR following the annual review. Letters of Commendation, disciplinary letters or any documentation discussed with the employee are considered proper documentation for inclusion.

D. Description of Job Performance and Ratings

The Description of Job Performance Section of the EDP form should summarize the employee's overall performance throughout the appraisal period, including coaching sessions, commendations, disciplinary actions, summary of reports of performance and other documentation that is available. In order to provide sufficient feedback, detailed comments should be provided.

The supervisor compiles documentation completed throughout the appraisal year that supports the achievement level. The rating process is based on a multi-dimensional evaluation of performance based on quality, frequency, and the level to which job standards and expectations are met.

There are five levels of performance:

1. **Exceptional:** Employee consistently produces work of the highest quality and job performance almost always far exceeds expectations. Employee significantly contributes to the department's efficiency and effectiveness, as well as the accomplishment of its objectives.
2. **Outstanding:** Employee consistently produces work of very good quality and job performance usually exceeds expectations. Employee regularly makes valuable contributions to the department's efficiency and effectiveness, as well as the accomplishment of its objectives.
3. **Successful:** Employee consistently produces work of good quality and job performance, regularly achieves expectations, sometimes exceeding them. Employee is an important link in the efficiency and effectiveness of the department, as well as the accomplishment of its objectives.

4. **Needs Improvement:** Employee produces work of uneven quality. Job performance sometimes meets expectation, but clearly needs improvement. Employee makes marginal contributions to the efficiency and effectiveness of the department, as well as the accomplishment of its objectives.
5. **Unsatisfactory:** Employee produces work of poor quality and rarely achieves expectations on a consistent basis. Employee is a barrier to the efficiency and effectiveness of the department and to the achievement of its objectives.

Employees who fail to meet the basic performance requirements of their job will be informed of the deficiencies and be given an opportunity to improve. Employees experiencing performance or behavior issues as evidenced by a low EDP rating, disciplinary probation, or major disciplinary actions or an employee working under a Performance Improvement Plan may not be eligible for any type of salary increase. One severe incident of misconduct may warrant an employee receiving less than a full merit increase or no increase at all. If an employee is not recommended for a full merit/step increase, documentation supporting that decision is required and should be forwarded to HR no later than December 1 for merit plan employees or June 1 for step plan employees.

An employee may be placed on a Performance Improvement Plan any time his/her performance is below expectations. However, employees who receive a performance rating below successful on their EDP shall be placed on a Performance Improvement Plan. Supervisors shall consult with HR when developing a Performance Improvement Plan. If the requirements of the Performance Improvement Plan are not achieved and the performance rating is not elevated then the employee should be considered for demotion, termination or other appropriate personnel action.

E. **Performance Planning**

The EDP form includes a Performance Planning section. The supervisor and employee shall develop three to five specific job-related performance goals in priority order. These goals should reflect what the employee should accomplish in the upcoming year given available resources and the goals and objectives of the department.

F. **Individual Development Plan (IDP)**

The EDP form includes an Individual Development Plan section. In this section, the supervisor and employee list learning and development opportunities that will assist the employee in their current position, as well as in obtaining future career goals.

G. **Annual Performance Review Process and Meeting**

The supervisor will meet with the employee to discuss performance and should prepare for this meeting by following the guidelines below: Prepare for and schedule an appointment at least two weeks in advance.

1. Obtain written input from others who supervised or worked closely with the employee during the evaluation period. The supervisor should also request information from the employee on their accomplishments throughout the evaluation period.
2. Discuss performance issues with departmental management prior to meeting with employee. An overall rating of Exceptional Performance must be approved by the department director prior to communicating it to the employee.
3. Provide a meeting place that is free from communication barriers.
4. Determine topic(s) employee wants to discuss.
5. Give specific feedback on any positive performance that has not already been discussed.
6. Discuss performance concerns.

7. Collaborate with the employee to develop an individual development plan to strengthen skills, knowledge or competencies and to leverage existing strengths for greater effectiveness.
8. Summarize the discussion. Discuss salary adjustments, as appropriate.
9. Set follow-up dates.

Once the appraisal is reviewed with the employee in completed form, the following steps must be followed: employees provide comments as they deem appropriate; the employee and supervisor sign and date the EDP form; the completed EDP form is forwarded to HR. A copy should be given to the employee.

H. **Administrative Review**

1. The Administrative Review is an appeals process for annual performance evaluations, which ensures that:
 - a. Proper review has taken place with all appropriate signoffs by employee and supervisor.
 - b. Employees are provided with an opportunity to make comments regarding the evaluation.
 - c. Any conflicts that may have arisen between the employee and the immediate supervisor (rater) have been addressed. This step is intended to maintain good employee relations and to prevent complaints arising from the appraisal process.
2. The Administrative Review Process shall be administered as follows:
 - a. One of the objectives of the EDP is to promote good communication between supervisors and employees. There may be differences of opinion. The employee's point of view about his/her performance can be documented on the EDP form in the space titled, "Employee Comments."
 - b. If the employee elects to appeal the EDP form, the employee may initiate an Administrative Review by submitting a memorandum titled Request for Administrative Review of EDP to the department director with a copy to the employee's supervisor and the Director of HR. The employee must submit the memorandum within 10 calendar days of receiving the final EDP. If the employee reports to the director/office administrator, the memorandum would be addressed to the director/office administrator's direct supervisor. The employee must state clearly and concisely the areas of disagreement related to the EDP and outline all steps taken to resolve the disagreement. The employee must also state the remedy requested.
 - c. The department director will gather the facts and opinions of both supervisor and employee and meet with both parties to review the issues identified in the employee's request for an Administrative Review. The department director (or designee) will attempt to resolve the issues identified in the employee's Request for Administrative Review of EDP.
 - d. The department director will make a final decision regarding the remedy requested after meeting with both parties. The decision should be noted in writing and made within 15 calendar days of the initial request for an Administrative Review. The deadline for responding may be extended by agreement of both the employee and director. The employee, supervisor and Director of HR shall each be provided a copy of the written decision. The department director's decision is final and binding.