

## Policy 8.07

<b>POLICY TITLE:</b>	<b>SUPERVISION AND ANNUAL PERFORMANCE EVALUATION</b>	<b>POLICY # 8.07</b>	<b>ADAPTED FROM</b>	
<b>Topic Area:</b>	<b>HUMAN RESOURCES</b>	Page 1 of 4	<b>REVIEW DATES</b>	
<b>Applies to:</b>	LRE Staff	<b>ISSUED BY:</b> Chief Executive Officer  <b>APPROVED BY:</b> Board of Directors	6/17/15	9/23/15
<b>Developed and Maintained by:</b>	LRE CEO & LRE HR Coordinator		9/23/2015	11/1/2016
			11/27/17	6/11/18
<b>Supersedes:</b>	N/A	<b>Effective Date:</b> 1/15/2015	<b>Revised Date:</b> 6/19/18	

### I. POLICY:

It is the policy of Lakeshore Regional Entity that all staff members will receive an annual performance evaluation.

### II. PURPOSE:

To establish policy and procedures governing the method by which annual performance appraisals will occur at the Lakeshore Regional Entity.

### III. APPLICATION:

With the exception of the Chief Executive Officer (CEO), all employees shall receive an annual performance evaluation as per the procedures outlined within this policy. The CEO will receive their evaluation from the Lakeshore Regional Entity's Board of Directors as per their mutual agreement. The remainder of the policy and procedures pertains to all supervisors including the CEO.

### VI. PROCEDURES:

#### 1. On-going Supervision

- 1.1. Supervisors will provide observation and review of employee performance throughout evaluation period to ensure the completion of assignments and the maintenance of acceptable levels of performance.
- 1.2. All supervisors will formally meet with their employees on a recurrent basis, no less than bi-monthly, to discuss assignments and provide feedback on performance with appropriate recommendations for improvement. On-going supervision will be provided to facilitate learning, growth, and support in the employee's engagement of their work responsibilities and recorded on the LRE Supervision Form. LRE Supervision Forms will be submitted to HR

quarterly for recording. HR may review with supervisors individually if warranted.

- 1.3. Supervisors will encourage employees to communicate any needs, concerns, or additional resources required to meet the expectations of their position. The supervisor will accommodate reasonable requests to ensure employees are supported to fulfill their responsibilities.
- 1.4. All communication will occur in a manner appropriate to maintain a professional employer-employee relationship.
- 1.5. Supervisors will prepare a formal Performance Improvement Plan for employees who are regularly falling short of meeting the minimum expectations of their position.

## 2. Annual Performance Evaluations: Method

- 2.1. All employees will receive evaluations on an annual basis in the anniversary month of their hire.
- 2.2. Annual performance evaluations require scoring of key characteristics of employee performance using a numeric scale per the "LRE Performance Appraisal Form". Supervisors will select one of the following ratings regarding employee performance: Exceeds Expectations (3), Meets Expectations (2), Needs Improvement (1), or Not Acceptable (0).
- 2.3. On the "LRE Performance Appraisal Form", a comment box is afforded for "Examples/Justifications to support ratings". This is optional for performance that is rated "Meets Expectations" (2) or higher. For areas scored as needing improvement (1) or not acceptable (0), supervisors must provide comments in the appraisal form.
- 2.4. Supervisors will complete draft performance evaluations. Draft performance evaluations may include self-evaluations and information as presented by the employee.
- 2.5. Supervisors of employees who transfer to another position will assist the new supervisor in completing the draft annual performance evaluation for the transferred employee.
- 2.6. The supervisor's Chief will review draft evaluations with supervisors to ensure compliance with the objectives of fairness, accuracy, and quality.
- 2.7. The supervisor's Chief will work with supervisors to address any shortcomings and facilitate changes as necessary.
- 2.8. Once draft evaluations are reviewed and approved by the supervisor's Chief, each supervisor will meet with employees to provide review of the final annual performance evaluation.
- 2.9. The supervisor and employee will discuss and complete "Objectives for the Next Reporting Period", as per the light-brown area of the form.
- 2.10. The employee will complete the employee comments section (see paragraph 3.2 below).
- 2.11. The performance evaluation will be signed by the supervisor, employee, and CEO. The employee's signature is required to acknowledge receipt of the

annual performance appraisal, and does not necessarily constitute agreement with the scoring.

- 2.12. Employees who receive a Not Acceptable (0) in any area will be ineligible to receive performance-based increases. Performance-based increases for employees who achieve an overall score of 2.3 will receive fifty percent of the maximum approved merit allowance. Employees who achieve an overall score of 2.6 or above will receive one hundred percent of the maximum approved merit allowance. If an employee does not achieve an overall score of 2.3 or above and has not received a Not Acceptable (0) in any area, the employee may request a second evaluation in 6 months.
  - 2.13. Any performance-based increase applied may not result in a pay rate that exceeds the maximum of the pay grade.
  - 2.14. Cost of Living Adjustments (COLA) are not considered “performance-based increases”. COLA applies to all LRE positions regardless of performance and is determined based upon budget, economic conditions, and market factors.
  - 2.15. Special consideration for merit increases based on assumption of additional responsibilities or exceptional performance are subject to approval of the Chief Executive Officer
3. Annual Performance Evaluations: Employee Responsibilities
    - 3.1. Upon learning of the evaluation due date, employees may request a formal meeting with supervisors to address any questions, concerns, or provide evidence of performance that may not have been previously discussed or considered.
    - 3.2. This is also an opportunity for employees to review their Job Description for clarification of roles and responsibilities, and for the employee to offer recommended changes to their Job Description.
    - 3.3. The employee will complete the Employee Comments section of the LRE Performance Appraisal Form.
      - 3.3.1. The employee must initial under the box that most correctly correlates to their understanding of the requirements of their position.
      - 3.3.2. The employee may provide additional comments if they wish, but are not compelled to do so.
  4. Annual Performance Evaluations: Supervisor Responsibilities
    - 4.1. Supervisors will ensure that their employees are aware of their upcoming annual performance evaluation to afford them an opportunity to formally meet to discuss questions, concerns, or receive evidence of performance not previously discussed.

- 4.2. Supervisors will complete the “Annual Performance Appraisal Evaluations: Method” in a timely manner.
- 4.3. Supervisors will utilize the “LRE Performance Appraisal Form” to provide feedback and scoring for the annual performance evaluation per the method described. The annual performance evaluation must take into consideration the *overall* performance of the employee for the entire performance period.
  - 4.3.1. Supervisors are expected to provide feedback throughout the evaluation period. There should generally be no surprises for an employee who has received consistent mentorship and supervision throughout the year.
  - 4.3.2. While the annual performance evaluation should be used to document both positive and negative overall performance, it is not intended as a performance improvement plan or disciplinary tool.

**VII. SUPPORTING DOCUMENTS:**

- LRE Performance Appraisal Form
- LRE Supervision Form
- LRE Supplemental Performance Appraisal Form Instructions