



**Martin Luther King, Jr.**  
OUTPATIENT CENTER

**POLICY AND PROCEDURE**

<b>DIVISION:</b> ADMINISTRATION	<b>NUMBER:</b> 04-020
<b>SUBJECT:</b> PERFORMANCE EVALUATION	
<b>SECTION:</b> HUMAN RESOURCES	<b>PAGE:</b> 1 <b>OF:</b> 6
<b>REVIEWED BY:</b> HR ADMINISTRATOR AND PROCEDURE & POLICY COMMITTEE	<b>EFFECTIVE DATE:</b> 12/08/83
<b>TO BE PERFORMED BY:</b> ALL WORKFORCE MEMBERS	<b>REVIEWED DATE:</b> 04/16/07
	<b>REVISED DATE:</b> 04/2017

**PURPOSE**

To govern the preparation of annual competency based Performance Evaluation (PE) reports for all workforce members.

**POLICY**

In compliance with Civil Service Rule 20.02 and/or applicable JCAHO standards, management will evaluate the competency and performance of each workforce member, at least annually, to advise workforce members of their job performance. The performance of probationary employees will be assessed at the conclusion of the probationary period. The performance of non-County workforce members employed twelve (12) months or more will be evaluated the same as County workforce members who provide care, treatment, and services.

The immediate supervisor shall clearly communicate the workforce member’s position description, and shall provide the necessary resources needed to meet and maintain the required performance standards.

**PROCEDURE**

**Management/Supervisory Responsibilities**

Managers and supervisors are responsible for the following:

- Completing 100% of the “Assessment of Competency & Specialized Skills (Performance Evaluation)”, Attachment 1, on all workforce members annually and return to on-site Human Resources Office by the established due date.
- Obtain workforce member’s signature on Position Description, annually.
- Attach a primary source verification printout of all valid license(s), certificate(s), registration and/or permit(s) required for the workforce member’s position.
- Complete skills competency verification (if applicable) and attach to PE.
- Complete population/age treatment skills competency (if applicable) and attach to PE.
- Complete clinical competency skills verification (if applicable) and attach to PE.
- Complete equipment skills competency verification (if applicable) and attach to PE.
- Complete the “Plan for Individual Improvement” form (if applicable, see Attachment2) and contact the

DHS Human Resources Performance Management Team for advisement.

- Attach In-Service/Education Profile.
- Attach proof of required Health Screen Clearance.
- Complete the “Outside Employment/Incompatible Activity, Conflict of Interest, State of California Conflict of Interest and Disclosure Code, and Dual Compensation” form (if applicable).
- Update Emergency Contact information (if changes).
- Acknowledge receipt of “Agreement of Understanding (Form HS-1025)” – Attachment 3 and all applicable policies and procedures as indicated on Form HS-1025. Non-County workforce members must be issued the Consolidated Policy Statement for review and acknowledgment (Attachment 4).
- Discuss PE with workforce member and have workforce member sign original PE report and the HS-1025 form. Non-County workforce members must sign the appropriate “Acknowledgment of Conditions of Assignment” attached to the Non-County Workforce Member Consolidated Policy Statement.
- All PE’s must be signed by the rater and department head.

**Note:** Non-County workforce members may supervise County workforce members but can only make recommendations pertaining to an employee’s work performance on performance evaluations. Performance evaluations can only be prepared and signed by a supervising County workforce member.

- Make two (2) copies of the PE and distribute as follows:
  - A copy should be filed in the workforce member’s area file.
  - A copy should be provided to the workforce member.
- Forward completed/signed evaluations (including attachments) to the on-site Human Resources Office by the established due date.

## **Performance Evaluations**

### Human Resources responsibilities

- Provide Manager/Supervisor with the “Performance Evaluation Distribution” (Attachment 5) schedule to follow according to the last digit in the workforce member’s identification number.
- Review and validate the content of the PE for appropriateness and discuss discrepancies with supervisors (if necessary).
- Completes performance evaluation and/or probationary ratings shall be entered into the County-wide Timekeepers Automated Personnel/Payroll Systems (CWTAPPS), and filed in the Official Employee Personnel Folder.
- File original evaluation and all important documents in the Official Personnel file.
- Notify Manger/Supervisor of delinquent PE list monthly.
- Provide annual report of performance results to the governing body.

Competency based performance evaluations for County employees should include reference to an employee's assignment to perform either additional duties or in an out-of-class capacity during the rating period (if applicable).

### Probationary Period & Evaluations

Probationary periods are governed by Civil Service Rule 12, and apply only to individuals appointed to permanent items. An employee's appointment to a permanent item is not complete until they have successfully served a complete period of probation.

Probationary periods are no less than six (6) months but can be as long as twelve (12) months, depending upon the classification title. Unless otherwise specifically advised by DHS Human Resources Office, the standard six (6) month probationary period will apply. With approval from DHS Human Resources, a probationary period can be extended on the basis of the probationer's actual aggregate absence from duty, inclusive of all periods of absence (extension must first be approved by DHS Human Resources). Notice of an extension of probation must be provided to the probationer prior to the end of the original probationary period. Probationary periods will not be extended to permit additional time for remediation of the probationer's performance.

- Interim Probationary Report

Probationary employees will be provided with an interim probationary report by the end of the third (3<sup>rd</sup>) month of the probationary period for the purpose of communicating deficiencies of their probationary performance. The supervisor must clearly define the areas of deficiency and state within the interim report that the probationer is in jeopardy of failing probation and may be subject to discharge. The DHS Human Resources Performance Management Team must be consulted prior to giving any interim or probationary report with negative impact on the employee.

- Final Probationary Report (County Employee)

There are only two possible overall ratings that can be given on the final probationary report; either "Competent" or "Unsatisfactory". Probationary reports are **extremely** time sensitive. Probationary reports **default** to an overall rating of "competent" unless otherwise specifically executed as "unsatisfactory" before the end of the last date of the defined probationary period; there are no exceptions.

DHS Human Resources Performance Management Team must be consulted regarding any action that will adversely affect the employment status/assignment of the probationary workforce member. Such actions must have the prior approval of DHS Human Resources. Adverse ratings implemented and presented to the workforce member without the prior authorization of the DHS Performance Management Team are subject to review and may be overturned if determined to be inappropriate or without justification.

### Annual Competency Based Performance Evaluations

Annual performance evaluations are prepared to reflect only a twelve (12) month period of performance. No information should be included that is outside of the rating period. For positions compensated on a scheduled salary basis (non-MAPP), facilities within the Department of Health Services utilize a twelve (12) month cycle of preparation for such evaluations.

### Document Preparation

A workforce member's performance is evaluated against the essential elements of the assigned job function, as defined in the corresponding position description. Other categories of assessment that may be included in the competency assessment as appropriate to the position include: Self-Management, Training/Education, Attendance, Productivity, Communication, Problem Solving Ability, Adaptability, Management and Supervisory Ability, etc.

- Overall Ratings/Definitions

There are five (5) potential overall ratings that may be used on an annual competency evaluation (CSR 20.04), as follows:

**Outstanding**

All work performance is consistently above the standards of the position. A substantial part of the work performed exceeds supervisory and management expectations most of the time.

**Very Good**

A substantial part of the work performance is well above the standards of performance required for the position and all other parts of the performance are at least *competent*.

**Competent**

Work performance is consistently up to or somewhat above the standards of performance required for the position. This is the performance which is expected of a trained and qualified workforce member.

**Improvement Needed**

This rating indicates that (1) a significant part of the work performance is below the standard required for the position, and (2) it is reasonable to expect that the workforce member will bring performance up to acceptable standards.

**Unsatisfactory**

A substantial part of the work performance is inadequate and definitely inferior to the standard of performance required for the position.

- Improvement Needed Overall Rating

**Note:** The process regarding “Improvement Needed” and “Unsatisfactory” ratings for County workforce members does not apply to non-County workforce members. Non-County workforce members who are rated “Improvement Needed” or “Unsatisfactory” will be terminated and placed on the “Do Not Send” database.

Improvement Needed ratings require approval of the DHS Human Resources, Performance Management Team prior to presentation to the subject workforce member, as the outcome of such rating has the potential to adversely impact the individual’s continued employment. Adverse overall ratings implemented and presented to the workforce member without the prior authorization of DHS Human Resources, Performance Management Team are subject to review and may be overturned if determined to be inappropriate or without justification.

An Improvement Needed rating may be implemented at the conclusion of the scheduled 12-month evaluation cycle, or at any appropriate time therein when a significant part of the employee’s work performance is below the standard required for the position. Implementation of an overall Improvement Needed rating requires that the Rater develop a Plan for Improvement Need that identifies the deficient performance to be corrected, the method of correction, and the efforts to be made by both the Supervisor/Manager and the subject employee.

Note: Please refer to Section 1170 of the DHS “Improvement Needed” policy, DHS Employee Evaluation and Discipline Guidelines.

Failure to prepare and submit the required follow-up rating by the end of the 6-month period will cause the employee’s status to default to that of the last evaluation of record.

- The 6-month improvement needed rating period may only be extended by the length of any *approved* absence during the rating period, and requires prior approval by the Director of Human Resources –and– notice to the affected workforce member. *An approved absence is considered to be any absence coded and authorized for compensation (e.g., vacation, holiday-time, accrued overtime, compensatory sick leave etc.), or any approved period of leave-of-absence (e.g., Family Medical Leave, Industrial Injury, etc.).*

- Subject to the approval of the Director of Human Resources, if the affected workforce member is absent from duty on an approved leave of absence prior to the conclusion of the 6-month improvement needed rating period, the department/service area manager may evaluate the workforce member on the basis of actual performance exclusive of the period of absence.
- Subject to the approval of the Director of Human Resources, if adequate justification is provided, wherein the affected workforce member is absent from duty on an approved leave of absence prior to the conclusion of the 6-month improvement needed rating period, the department/service area manager may extend the reporting period for a maximum of an additional 6-months.
- Unsatisfactory Rating

An overall rating of “Unsatisfactory” is usually implemented as a consequence of either unsuccessful remediation of the employee’s performance during an “improvement needed” evaluation period –or- due to an egregious circumstance that does not permit remediation (e.g. discharge for cause). Any such rating requires prior consultation with, and approval by, the DHS Human Resources, Performance Management Team. Adverse ratings implemented and presented to the workforce member without the prior authorization of the DHS Human Resources, Performance Management Manager are subject to review and may be overturned if determined to be inappropriate or without justification.

When the overall rating of “Unsatisfactory” is made due to the workforce member’s failure to remediate their deficient work performance, there are only two possible results: (a) an involuntary reduction to the last classification title held by the subject workforce member wherein they were rated as “competent” or better, or (b) if there was no such prior position within the Southwest Area the workforce member will be discharged from employment. Such actions will be administered by the DHS Human Resources, Performance Management Team.

#### **Employee’s Request to Review/Discuss the Evaluation**

The employee may, within 10 business days of receipt of the evaluation, request to review the P.E. with any of the persons who have signed the report (CSR 20.07).

Reconsideration of Performance Evaluation ratings (Grievance/Appeal procedure)

As provided by CSR 20.09, all employees not subject to the Management Appraisal and Performances Plan (MAPP) may initiate a timely grievance regarding their performance evaluation according to the departmental grievance procedure or through the grievance procedure contained in the governing Memorandum of Understanding.

#### **AUTHORITY:**

L.A County Code, Title V, Chapter 5.88, Civil Service Rules 12, 18 and 20  
Department of Health Services Personnel Practice Number 202  
Joint Commission on the Accreditation of Health Care organizations (JCAHO)  
Applicable memorandum of Understanding (MOU)  
Title 22  
DHS Employee Evaluation & Discipline Guidelines

#### **CROSS REFERENCE:**

MLK OPC Policy and Procedure Nos, 04-038, Position Description; 04-041, Competency Assessment

**NOTED AND APPROVED:**

\_\_\_\_\_  
Cynthia M. Oliver, Chief Executive Officer

\_\_\_\_\_  
Date

\_\_\_\_\_  
Ellen Rothman, M.D., Chief Medical Director

\_\_\_\_\_  
Date

\_\_\_\_\_  
Lessie Barber, RN, Nursing Director

\_\_\_\_\_  
Date

Signature(s) on File.