

## **Personnel Rule 1.5 – Performance Management**

### **1.5.0 Authority**

SMC 4.04.050 and subsequent revisions thereto, Rule-making Authority

SMC 4.04.180 and subsequent revisions thereto, Performance evaluation

### **1.5.1 Application of this Rule**

- A. This Rule applies to regular, trial service and probationary employees.
- B. For regular, trial service and probationary employees who are represented under the terms of a collective bargaining agreement, this Rule prevails except where it conflicts with the collective bargaining agreement, any memoranda of agreement or understanding signed pursuant to the collective bargaining agreement, or any recognized and established practice relative to the members of the bargaining unit.
- C. This Rule does not apply to employees appointed to exempt positions; however, the appointing authority may implement a performance evaluation system for exempt employees.
- D. The provisions of this subchapter shall be applied to employees of the Seattle Municipal Court except where they conflict with any policy promulgated by the Court and/or General Court Rule 29.

### **1.5.3 Performance Management Training**

- A. Appropriate performance management training is a component of the City's performance management systems. Performance management training for supervisors and managers may include but need not be limited to:
  - 1. Engaging in effective communication,
  - 2. Participating in setting and communicating expectations,
  - 3. Providing and receiving ongoing feedback,
  - 4. Recognizing good individual and team performance,
  - 5. Assessing the causes of deficient job performance,
  - 6. Assisting employees in performance improvement,
  - 7. Conducting effective performance evaluations,
  - 8. Appropriately implementing progressive discipline, and
  - 9. Appropriately seeking assistance.
- B. Performance management training for employees may include but need not be limited to:
  - 1. Engaging in effective communication,
  - 2. Participating in setting and communicating expectations,
  - 3. Providing and receiving ongoing feedback,
  - 4. Participating in performance improvement processes,
  - 5. Participating in performance evaluation processes, and
  - 6. Appropriately seeking assistance.

### **1.5.3 Job Expectations**

- A. The setting and communication of job expectations is a goal of the performance evaluation system. All supervisors and employees should identify employees' job expectations:
  - 1. On at least an annual basis to set expectations for the coming year,
  - 2. When the employee begins a new job,
  - 3. When there are changes in job expectations, and
  - 4. When an employee needs or requests clarification about his or her job expectations.
- B. Job expectations should be reasonable and fair and should align with the employee's class specification as well as the overall organizational priorities, goals and strategies for the employing unit and the City.
- C. Each supervisor and employee may identify any training and other resources necessary for the employee to meet his or her job expectations.
- D. Any documentation of job expectations by the supervisor shall be maintained in the supervisor file, with a copy to the employee.

### **1.5.4 Performance Evaluation**

- A. Every employing unit is expected to develop and maintain a performance evaluation system which may include but need not be limited to:
  - 1. Annual job-related performance evaluations,
  - 2. Provision for employee comment on formal performance evaluations,
  - 3. Review of formal performance evaluations by the rater's supervisor, and
  - 4. The employee's right to have his or her formal performance evaluation reviewed by the supervisor's chain of command up to and including the appointing authority.
- B. The results of performance evaluations shall be used to:
  - 1. Improve communications with employees,
  - 2. Help identify and recognize outstanding employee performance,
  - 3. Help identify and correct inadequate employee performance, and
  - 4. Help demonstrate just cause for personnel actions.
- C. The Seattle Human Resources Director may conduct regular audits of performance evaluation records to monitor employing units' implementation and maintenance of a performance evaluation system.

### **1.5.5 Communicating Performance Deficiencies**

- A. Supervisors should address deficiencies in an employee's job performance immediately, rather than waiting for the formal performance evaluation, by conducting a counseling session with the employee to:
  - 1. Review job expectations for the employee's position,
  - 2. Communicate to the employee the job performance deficiencies, and
  - 3. Begin to assess the cause of the job performance deficiencies.

- B. Supervisors should document an assessment of the cause of the employee's job performance deficiencies, addressing issues that may include but may not be limited to:
  - 1. Are the job expectations consistent with the employee's position classification?
  - 2. Were the job expectations communicated to the employee?
  - 3. How does the employee's performance compare with others in the same classification?
  - 4. Did the employee receive appropriate job-related training and/or equipment?
  - 5. Has the employee previously demonstrated the ability to meet his or her job expectations?
- C. The supervisor should document all meetings held to discuss job performance deficiencies and shall maintain the documentation in the supervisor file, with a copy to the employee.

#### **1.5.6 Employee Failure to Correct Performance Deficiencies**

- A. If, after counseling an employee, a supervisor concludes that he or she still does not adequately perform his or her job, the supervisor should consult with the human resources professional(s) in his or her employing unit to determine whether to proceed with progressive discipline.
- B. If a supervisor determines that progressive discipline is the appropriate course of action, he or she shall proceed in accordance with Personnel Rule 1.3.

#### **1.5.7 Alternative Dispute Resolution Program**

The parties to a performance management process may mutually agree to use the services available through the Alternative Dispute Resolution Program at any time. Mediation is not a substitute for performance management. However, communication problems or workplace conflict may aggravate an employee's job performance deficiencies. Mediation may help address communication problems or workplace conflict, thereby improving the employee's ability to correct performance deficiencies.