

STEUBEN COUNTY



MANAGEMENT EVALUATION AND SALARY PLAN

(Initial Plan Adopted 12/10/86; revised Plan Adopted 07/28/97)

(Updated – 06/16)

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MANAGEMENT EVALUATION & SALARY PLAN

The treatment of management employees in the same manner as employees represented by bargaining units has the potential of having management level employees identifying themselves with their subordinates, rather than the aims, objectives and philosophies of County management.

To assist in the development of a management identity, the implementation of a separate Management Evaluation and Salary Plan designed for managers, reflecting the responsibility of their positions consisting of salary advancements based on performance and merit is recommended.

The Management Evaluation and Salary Plan is intended to cover and have application to all those full-time employees designated as management and not included in the bargaining unit. The Confidential Secretary positions are not managerial and should be treated equally with similar titles in the bargaining unit. For purposes of this Plan, management shall include those positions designated as management and having significant policy, managerial, administrative or professional duties which require the performance of independent judgement in program planning, personnel administration, resource allocation or scheduling and supervising the work of others. Part-time professionals, i.e. lawyers, doctors, etc., shall be compensated according to the market conditions as recommended by the Personnel Officer and the County Manager.

The Evaluation and Salary Plan consists of nine grades. The Plan establishes a minimum rate for each level which should be considered the minimum salary for recruitment and appointment of qualified candidates (see Table 1). The spread between the minimum rate and mid-point rate is the recruitment salary range for each level. This spread is to be used for recruitment purposes and where there is difficulty in recruiting qualified candidates at the minimum rate or where it is necessary to increase the entry rate to hire an eminently qualified candidate, the County will have that ability already built into the system.

The maximum rate is the maximum salary for each grade. Movement from minimum rate is based on the incumbent's performance on the job. There are no guarantees that all managers will ultimately reach the maximum rate of the allocated compensation grade. Few managers are expected to reach the maximum rate; however, each manager should achieve the mid-point rate. If the employee does not, his/her performance should be closely monitored and a decision made concerning the competency of the manager, since he/she is apparently not performing at the anticipated performance level of the position.

As indicated above, the mid-point rate is the job rate/market rate or the anticipated performance rate for each management position. Care should be taken to maintain that concept and any advancement beyond the mid-point rate should be firmly based on managerial performance.

RANGE ADJUSTMENT/MARKET ADJUSTMENT

The salary ranges of the Evaluation and Salary Plan will be adjusted to coincide with increases applied to the CSEA main unit salary grid (Resolution #102-06, adopted 5/22/2006). This adjustment will take place with the submission of changes by the Personnel Officer and approval of the County Manager. In the event there is no increase given to the main unit of the CSEA, the management salary ranges will remain frozen for that given year. In addition, the Personnel Officer is designated to perform as-needed reviews must be reviewed annually to determine its the appropriateness of the salary ranges in relation to market conditions. The Personnel Officer should be maydesignated to perform the review and make recommendations for adjustment to the salary ranges to the County Manager and County Legislature to keep pace with the labor market. Such non-routine adjustments will be formally approved by the Administration Committee.- The

Any adjustment will move the entire Evaluation and Salary Plan, not the individual position salaries. The actual increase any manager receives is based upon their performance evaluation.

COMPENSATION AT APPOINTMENT

There will be market conditions influencing recruitment salaries from time to time, which requires an exception to the normal mid-point starting salary. These conditions reflect an anomaly in the market, which must be taken into account in filling the vacancy. The determination to start a new manager above the mid-point must be recommended by the Personnel Officer, approved by the County Manager and the Administration Committee of the County Legislature.

COMPENSATION UPON REALLOCATION

When a manager is reallocated upward, the incumbent's salary may be allocated anywhere between the minimum rate up to the mid-point rate at the discretion of the appointing authority with the approval of the County Manager ~~and the County Legislature~~. The compensation on reallocation upward should not exceed the mid-point rate of the allocated grade except that a manager should receive an increase in salary upon reallocation upward based on the incumbent's position in the higher range.

COMPENSATION UPON REALLOCATION DOWNWARD

In the event a position compensation grade allocation is reviewed because of a material and significant change in the duties and responsibilities of the position, and the analysis results in the position being allocated to a lower grade of compensation, incumbents shall maintain their current level salary for one year following the effective date of reallocation. Thereafter, the Manager shall be compensated at a salary rate provided for within the rate of the new grade as recommended by the County Manager and approved by the Administration Committee of the County Legislature.

PERFORMANCE EVALUATION

The evaluation of a manager's performance is a sound management tool, which should provide feedback on individual achievement and effectiveness. Performance evaluation of managers is also a vital part of the Evaluation and Salary Plan. It provides the basis for movement within the allocated level of the Evaluation and Salary Plan. Each management employee shall have an annual performance evaluation.

All managers employed by the County when this Plan is installed shall have a management performance evaluation form completed to indicate goals and objectives for the next evaluation period.

During the evaluation, the manager should develop his/her own goals/objectives for the coming year, and they should be discussed between the manager and his/her supervisor or evaluator, and agreed upon. The performance of the previous year should be reviewed and evaluated at that time. It shall be the responsibility of the manager to ensure the completion of the agreed upon goals and objectives. If, at any time during the evaluation period, because of conditions outside the influence of the manager (budgetary, legislation, etc.), it becomes apparent that it will be impossible to accomplish a goal or objective, it shall be the responsibility of the manager to initiate with his/her supervisor or evaluator changes in the established goals and objectives.

At the evaluation, all management employees will be assigned an overall performance rating as follows:

DEFINITION OF PERFORMANCE RATING - There will be four possible outcomes for each evaluation category. The same four outcomes are possible for the overall evaluation.

1. Performance Rating Descriptions - These descriptions are also located on the Performance Evaluation forms.

| | | |
|--------------------------|----------|---|
| Excellent | E | Performance is exceptional in all respects. Employee goes above and beyond meeting all performance expectations for the category. (3 points) |
| Proficient | P | Employee consistently meets performance expectations for the category. (2 points) |
| Acceptable | A | Performance is generally consistent with expectations for the category. Performance could be improved. (1 point) |
| Needs Improvement | N | Performance is unacceptable and requires immediate improvement. (0 point) |

2. Overall Evaluation - These descriptions are also located on the Performance Evaluation forms.

| | |
|---------------------------------|---|
| <u>EXCELLENT</u> | Total points 19 or above with no “Needs Improvement” in any category (if points are in this range and there is a “Needs Improvement,” overall grade is “Proficient”). |
| <u>PROFICIENT</u> | Total points 13 to 18 with 1 or fewer “Needs Improvement” (if points are in this range and there are 2 to 3 “Needs Improvement,” overall grade is “Acceptable”). |
| <u>ACCEPTABLE</u> | Total points 6 to 12 with 3 or fewer “Needs Improvement” (if points are in this range and there are 4 or more “Needs Improvement,” overall grade is “Needs Improvement”). |
| <u>NEEDS IMPROVEMENT</u> | Total points are less than 6, or 4 or more “Needs Improvement.” |

When a manager receives an overall performance evaluation rating of "NEEDS IMPROVEMENT," his/her performance shall be re-evaluated as necessary but not longer than three (3) months from receiving such rating. This will provide the manager with an opportunity to improve his/her performance and receive a salary advancement for that evaluation period. This will also provide the County with an earlier opportunity to review and resolve a performance problem, rather than waiting one year. For specific instructions on how evaluations are to be completed, please read the instructions on the form.

TIME FRAME - EVALUATION PROCESS

- ~~April 15 June~~ County Manager's Office sends out evaluation forms.
- ~~May July~~ County Manager meets with department heads to perform review. Self-evaluations MUST BE completed prior to meeting. Department heads meet with subordinate management employees for review.
- ~~June~~ ~~County Manager discusses department head evaluations with Standing Committees. Department heads discuss subordinate management evaluations with County Manager.~~
- ~~July~~ ~~Department heads and County Manager meet with Standing Committees to discuss reviews of subordinate management employees.~~
- August Personnel Office notifies each department head of percentage increases for management employees to include in budget requests.
- August 15 Last date for employee to file appeal with County Manager.
- September Appeals Board hears and decides appeals.
- October Administration Committee determines percentage increases for managers receiving Excellent, Proficient and Acceptable reviews.
- November Administration Committee presents Local Laws (if necessary).
- December Legislature approves budget and any necessary Local Laws.

SALARY ADVANCEMENTS ADJUSTMENTS

There are to be four possible salary outcomes based upon a performance evaluation. Those managers receiving an overall rating of Needs Improvement will receive no annual increase until performance is improved and an Acceptable evaluation is approved. The Administration Committee of the Steuben County Legislature shall determine the percentage increases for managers receiving Excellent, Proficient and Acceptable evaluations. Such increases will be incorporated into the proposed annual budget.

There shall also be an administrative adjustment made to those employees who are below mid-point of their grade after three years of service in that position. The Personnel Officer and County Manager will review the status of management employees below midpoint and recommend adjustments to the Administration Committee. Performance of the employee will factor into these adjustments. receiving an increase in salary based on an Excellent, Proficient or Acceptable evaluation. If the salary of such management employee is between \$500.00 and \$1,000.00 below the mid-point, they shall receive an additional one half percent (1/2%) increase. If the salary of such management employee is more than \$1,000.00 below the mid-point of the grade, the administrative adjustment shall be one percent (1%).

APPEAL PROCESS

Appeals will apply to the overall performance evaluation, not the percentage increase as determined by the Administration Committee of the Steuben County Legislature.

~~The Chair of the Legislature, the Chair of the Administration Committee and the Chair of the Standing Committee of the appellant shall constitute~~Personnel Officer shall be chair of the Appeals Committee and will appoint two Department Heads to hear any appeal. ~~the Appeals Committee.~~

The appellant must appeal in writing and present said written appeal to the ~~County Manager~~Appeals Committee not later than ten calendar days from the date of receiving the evaluation results.

~~The County Manager shall provide copies of the written appeal to the Appeals Committee and arrange for the appellant to meet with the Appeals Committee.~~

The Appeals Committee will review the appeal and decide its merits in consultation with whomever it deems appropriate. They will present their findings to the County Manager, and the subsequent decision of the County Manager ~~The Appeals Committee decision~~ is final.

ALLOCATION OF NEW POSITION TO THE EVALUATION AND SALARY

PLAN

The allocation of newly created positions to the Evaluation and Salary Plan shall be based on the factor rating system included in this report and a review of appropriate salary data.

First, County Personnel Officer should conduct a salary survey. This will provide the County with an indication of the salary necessary to recruit qualified candidates for a given position in the labor market.

Second, a questionnaire outlining the duties and responsibilities of the position should be developed and a factor rating assigned to determine the appropriate compensation grade. Since the responsibilities for new positions are not normally defined as distinctly as existing positions, the questionnaire will provide an indication as to the comparability of the salary data obtained from other employers to the Steuben County position and thereby reinforce the appropriate allocation of the position and its appropriate point rating.

Allocations will be made based on the factor rating developed from the factors listed in this report. A recommendation for the appropriate compensation grade will be made by the County Manager to the County Legislature.

COMPENSATION OF PLAN ADMINISTRATION

As previously stated, the responsibility to allocate and/or reallocate management positions rests with the ~~County Legislature~~Administration Committee. The Personnel Officer should periodically review the Plan to ensure that it is in conformance with the prevailing labor market wage and salary conditions and make recommendations, as needed, for the adjustments in the Plan to the County Manager for submission to the ~~County Legislature~~Administration Committee.

The Management Salary Grid shall be adjusted annually by the same percentage as the CSEA Salary Grid (~~Resolution #102-06, adopted 5/22/2006~~).

EVALUATION PROCESS FOR COUNTY MANAGER

The Committee to evaluate the performance of the County Manager shall consist of the Chairs of each

Standing Committee of the Legislature and the Chair of the Legislature. Each July, a meeting of this Committee shall be held and an evaluation of the County Manager's performance will be documented using the Steuben County Manager Performance Evaluation Form. The County Manager shall also perform a self-evaluation. The County Manager will meet with the Committee to compare evaluations and a third joint evaluation form shall be completed. In the event of disagreement on the final evaluation or any component category, the evaluation performed by the Committee shall be used to determine the amount of the salary increase. The County Manager's salary shall be adjusted in accordance with the performance rating achieved.

EVALUATION PROCESS FOR ~~COUNTY SHERIFF, COUNTY CLERK AND~~ COMMISSIONER OF FINANCE, COUNTY ATTORNEY, AND CLERK OF THE LEGISLATURE

The ~~County Manager and the Chairman of the Legislature Standing Committees to which the County Sheriff, County Clerk and Commissioner of Finance report~~ shall ~~conduct an informal, oral evaluation with the constitutional officer and salary increases shall be determined by each Standing Committee~~ complete the evaluations of the Commissioner of Finance, the County Attorney, and the Clerk of the Legislature. These evaluations are to be completed in ~~August~~ July of each year.

APPLICATION OF EVALUATION AND SALARY PLAN

The Plan, in its entirety, is to be applicable to managers in all departments and agencies under the administrative supervision of the Steuben County Manager. On the following pages are the Job Evaluation Plan, Factor Ratings and the recommended allocations by title.

FACTOR RATING SYSTEM

The factor rating method of allocation of positions to the Evaluation and Salary Plan provides a rationale and systematic procedure for comparative analysis of positions covered under the Plan. It provides a measure of the internal relationship between managers.

The factor rating system was developed based on the factors identified within the Steuben County Managerial Group as common areas that provide a meaningful relationship among and between managers. These factors were weighed based on the analysis of the positions. Each factor was subdivided into five-degree levels or weights for point ranking. Definitions were developed for the highest degree level, the middle degree level and the lowest degree level. The degree levels between the prescribed definitions are for positions that do not meet the precise definitions provided for the respective degrees. Grade levels and total point weighing are shown in Table 2. Point spreads for each factor may be seen in Table 3.

This approach provides a relatively easy to administer system, while at the same time being understandable to all parties involved. Additionally, the administration of the Plan has flexibility in allocations that might otherwise create problems by not meeting precise definitions at any level. The seven factors identified include:

Accountability

Complexity of the Duties and Responsibilities

Independent Judgement

Impact of Program Administration

Scope of Contracts

Supervision Exercised

Education and Experience

An analysis of each position was completed using the factor rating system and copies of determinations were provided to the County Manager. It was recommended that the Administration Committee review the recommendations, the factors and the allocation of each position. Additionally, the committee should have responsibility to allocate any new management positions that are created. ~~or respond to appeals made by individual managers regarding their current allocation.~~

METHOD OF ALLOCATION

The information provided by each manager was reviewed by the Committee and the information was then compared to each of the seven factors discussed above. A determination was made on the degree applicable within each factor and the corresponding point allocation recorded on a position allocation form. The total of the degree in each factor was then totaled and the results provided the basis for allocation to the compensation plan.

For a better understanding of the allocation of points in the degree levels which do not have a precise definition provided, an overview is required of positions previously allocated to maintain consistency in allocation. Therefore, when reviewing the allocation, all positions should be reviewed against the ultimate grade distribution provided in this report as a rank in position, cross-checked to verify the appropriateness and consistency in the factor rating.

Following is a description of the factors and an indication of the point allocations for each degree within the factors.

FACTOR I - ACCOUNTABILITY

The organizational level of a position is an indicator of the relative independence and amount of guidance available to a position. It is also indicative of the extent to which an incumbent's actions affect the overall operations of the agency.

CRITERIA:

1. Accountable to the Legislature for the successful development and accomplishment of multiple and/or major County-wide programs and objectives.
2. Accountable to the County Legislature or ~~department head~~County Manager for the successful development and accomplishment of assigned program objectives. This includes managers that function as the head of a single program area.
3. Accountable to department head or program manager with responsibility for the accomplishment of assigned department or agency objectives or serves as an assistant to a manager in assigned activities on a project basis.

FACTOR I - ACCOUNTABILITY

| <u>CRITERIA</u> | <u>WEIGHT</u> |
|------------------------|----------------------|
| 1 | 140 |
| | 112 |
| 2 | 84 |
| | 56 |
| 3 | 28 |

FACTOR II - COMPLEXITY OF THE DUTIES AND RESPONSIBILITIES

This factor measures the complexity of the duties performed. Areas of consideration include the program coordination required and the creativeness in problem solving.

CRITERIA:

1. Duties involve the integration and constant coordination of many diverse activities, programs and functions with an overview and general understanding of the general philosophies of the agency. The work consists of planning, directing and coordinating diverse functions and processes of an administrative or professional level. Problems are usually undefined and require extensive analysis for formulating solutions.
2. Duties involve the coordination of programs, activities or functions within an agency requiring a thorough understanding of agency programs and objectives. Work involves the application of decisions made after analysis of problems and numerous alternative solutions.
3. Duties involve the coordination of a single program, activity or function within an agency requiring an understanding of the agency program and objectives. Work involves the performance of different and unrelated processes requiring recognition of alternate approaches to problem solving.

FACTOR II - COMPLEXITY OF DUTIES AND RESPONSIBILITIES

| <u>CRITERIA</u> | <u>WEIGHT</u> |
|------------------------|----------------------|
| 1 | 140 |
| | 112 |
| 2 | 84 |
| | 56 |
| 3 | 28 |

FACTOR III - INDEPENDENT JUDGEMENT

This factor measures the level of independent judgement given to a manager in relation to the department, agency or program operation and/or direction in terms of the parameters in policy-making and decision-making.

CRITERIA:

1. Exercises a high degree of independent judgement. The manager must continually formulate and adapt procedures to meet long-range operational needs of the entire department. Under the general administrative policy of the County Legislature, this level has the widest leeway for the development and implementation of program policy and the exercise of independent judgement and action.
2. Exercises ongoing moderate degree of independent judgement in assigned program areas with few limits or restraints. The manager works within general guidelines and advises on policy matters and suggests changes in policy that would affect the entire department or agency.
3. Exercises frequent but a low level of independent judgement in interpreting and applying agency policies and program procedures in the assigned area or adapt policies to a program area.

FACTOR III - INDEPENDENT JUDGEMENT

| <u>CRITERIA</u> | <u>WEIGHT</u> |
|------------------------|----------------------|
| 1 | 120 |
| 2 | 96 |
| 3 | 72 |
| | 48 |
| | 24 |

FACTOR IV - IMPACT OF PROGRAM ADMINISTRATION

The impact of program administration on other governmental units and the general public is a reflection of a measure of the management position in relation to other managers. The factor measures the range of impact of the work produced by or under the direction of the management position.

CRITERIA:

1. Actions carried out independently without approval from any other management or executive position or directed to be carried out by the manager have a direct effect on the majority of the general public of the County.
2. Actions directed or carried out independently without approval from any other manager have a direct effect on a significant portion of the general public of the County or the staffing and operations of all County departments and/or agencies.
3. Actions directed or carried out support the operations of other County departments or affect the operations of other units within an agency or department.

FACTOR IV - IMPACT OF PROGRAM ADMINISTRATION

| <u>CRITERIA</u> | <u>WEIGHT</u> |
|------------------------|----------------------|
| 1 | 120 |
| | 96 |
| 2 | 72 |
| | 48 |
| 3 | 24 |

FACTOR V - SCOPE OF CONTACTS

The extent of communications by managers on behalf of the department, agency or program, and the purpose of these communications are an indication of the scope of the program, the interest and involvement of others, including the general population and the scope of the manager's role in the organization.

CRITERIA:

1. Represents the agency on an extensive range of issues with high-ranking officials from outside the agency, including the County Legislature, other governmental agencies and a major public interest group to determine and designate program goals or to negotiate with such groups regarding mutual concerns.
2. Represents the agency in specific issues with other entities including the County Legislature, other government agencies and public interest groups as part of the individual's regular functions. The manager is generally concerned with specific issues and given guidance of the limits in various issues to be discussed.
3. Represents the agency with entities outside the agency for the sole purpose of providing or obtaining information.

FACTOR V - SCOPE OF CONTACTS

| <u>CRITERIA</u> | <u>WEIGHT</u> |
|------------------------|----------------------|
| 1 | 80 |
| 2 | 64 |
| 3 | 48 |
| | 32 |
| | 16 |

FACTOR VI - SUPERVISION EXERCISED

This factor measures the supervisory responsibility of the management position in terms of the diversity of program supervised and the skill level of subordinates.

CRITERIA:

1. Has responsibility over all department heads, agency heads and other assigned subordinates of County Government.
2. Has responsibility for providing supervision over a department or agency with two major program areas and supervises skilled or specialized program managers or staff.
3. Has responsibility for a single program area and may supervise subordinate support staff.

FACTOR VI - SUPERVISION EXERCISED

| <u>CRITERIA</u> | <u>WEIGHT</u> |
|-----------------|---------------|
| 1 | 100 |
| | 80 |
| 2 | 60 |
| | 40 |
| 3 | 20 |

FACTOR VII - EDUCATION AND EXPERIENCE

This factor measures the level of knowledge, skills and abilities necessary to perform the duties of the position.

CRITERIA:

1. This level requires comprehensive professional training and experience in technical or highly specialized areas, usually reflected by a requirement for professional licensing or certification by a professional or professional organization.
2. This level requires advanced specialized training and experience related to the agency functions or programs. This includes management positions, which require a Bachelor's Degree and specialized experience.
3. This level requires formal training and experience at a level equivalent to high school graduation and experience in the specialty as a minimum.

FACTOR VII - EDUCATION AND EXPERIENCE

| <u>CRITERIA</u> | <u>WEIGHT</u> |
|------------------------|----------------------|
| 1 | 100 |
| | 80 |
| 2 | 60 |
| | 40 |
| 3 | 20 |

For ease in evaluating "Education and Experience," specific weights were assigned for specific levels of education and/or experience.

STEUBEN COUNTY DEPARTMENT HEAD
PERFORMANCE EVALUATION FORM

EVALUATION PROCESS

Each department head is required to perform a self-evaluation annually. The County Manager shall also perform an evaluation using a similar form. Department heads may attach support documentation including letters, reports and commendations that support the self-evaluation. ~~In the event that a department head believes a rating of “Excellent” for the overall evaluation is justified, he or she is required to submit a written justification and any supporting documentation, which supports the “Excellent” rating.~~ The department head and the County Manager shall meet and compare evaluations. During the meeting, a third form shall be filled out by both parties. This form will take into account the views of both the department head and the County Manager. In the event an agreement cannot be reached on individual categories or the overall evaluation, the evaluation performed by the County Manager shall prevail. In the event of an overall rating of “Needs Improvement,” the County Manager shall prepare a written justification and supporting documentation, which documents specific reasons for the unsatisfactory rating. The County Manager shall meet with the appropriate Standing Committee and the Chair of the Legislature to discuss the evaluation prior to final adoption of the evaluation. The decision of the County Manager, after reviewing the evaluation with the Standing Committee, is final unless a formal appeal is filed by the department head.

PERFORMANCE RATING DESCRIPTIONS

| | | |
|---|----------|---|
| <i>Excellent</i> (3 points) | E | Performance is exceptional in all respects. Employee goes beyond meeting all performance expectations for the category. |
| <i>Proficient</i> (2 points) | P | Employee consistently meets performance expectations for the category. |
| <i>Acceptable</i> (1 point) | A | Performance is generally consistent with expectations for the category. Performance could be improved. |
| <i>Needs Improvement</i> (0 points) | N | Performance is unacceptable and requires immediate improvement. |

DEPARTMENT HEAD EVALUATION FORM

Excellent - 3 points; Proficient - 2 points; Acceptable - 1 point; Needs Improvement - 0 points.

DEPARTMENTAL LEADERSHIP: To what degree has the department head established himself/herself as the leader of the department? Does he/she inspire confidence and respect for his/her abilities from peers and subordinates?

E P A N
3 2 1 0

Comments: _____

SUPERVISION: Evaluate the ability to see that delegated assignments are completed effectively by subordinate personnel, and that overall teamwork is developed in the department and between the department head and other departments' personnel when working on joint assignments. Is significant attention given to developing the skills and abilities of subordinates?

E P A N
3 2 1 0

Comments: _____

EFFECTIVENESS: Evaluate the effectiveness of the department head in meeting departmental and overall County goals. Included in this analysis is the efficient use of resources. How effective is he/she in controlling and reducing unnecessary costs in his/her department?

E P A N
3 2 1 0

Comments: _____

PLANNING AND ORGANIZING: Is the department's work organized and completed accurately and on schedule? Consider the effectiveness achieved in systematizing workflow. Also included in this category is the department head's ability to operate within budget constraints approved by the Legislature.

E P A N
3 2 1 0

Comments: _____

JUDGEMENT: To what extent does the department head execute good judgement consistent with ethical delivery of public services? Is independent judgement exercised when appropriate and is guidance asked for when necessary? Are decisions made by the department head consistent with overall County goals and in accordance with legal and regulatory compliance?

E P A N
3 2 1 0

Comments: _____

INITIATIVE: Evaluate the department head's ability to recognize service delivery or organizational needs and make recommendations to improve, create or eliminate programs or policies to meet such needs.

E P A N
3 2 1 0

Comments: _____

COMMUNICATION: Does the department head keep ~~the Legislature and the~~ County Manager informed of progress and/or problems being encountered by the public and staff? Are informational requirements such as budget narratives and annual reports and requests for information handled on a timely basis? Are requests for information from the public addressed in a courteous and professional manner? Does the department head keep the public informed of positive developments in the department through media contacts, newsletters or other appropriate types of communication?

E P A N
3 2 1 0

Comments: _____

COOPERATION: To what extent does the department head contribute towards reaching overall County goals and objectives? Does the department head cooperate with other departments whenever possible? Are efforts to resolve differences of opinion with other employees or officials sought in a constructive, mature manner? Are efforts made to creatively overcome obstacles to County objectives? Does the department head react professionally when his or her personal opinion does not prevail in a service delivery decision?

E P A N
3 2 1 0

Comments: _____

OVERALL EVALUATION

EXCELLENT

Total points 19 or above with no “Needs Improvement” in any category (if points are in this range and there is a “Needs Improvement,” overall grade is “Proficient”).

PROFICIENT

Total points 13 to 18 with 1 or fewer “Needs Improvement” (if points are in this range and there are 2 to 3 “Needs Improvement,” overall grade is “Acceptable”).

ACCEPTABLE

Total points 6 to 12 with 3 or fewer “Needs Improvement” (if points are in this range and there are 4 or more “Needs Improvement,” overall grade is “Needs Improvement”).

NEEDS IMPROVEMENT

Total points are less than 6, or 4 or more “Needs Improvement.”

TOTAL POINTS: _____

Overall Evaluation: _____ **Excellent**
_____ **Proficient**
_____ **Acceptable**
_____ **Needs Improvement**

Signature of Department Head

Date

This section to be filled out jointly between Department Head and County Manager.

ACTION PLAN:

What specific actions can be pursued to improve performance in any or all of the above performance areas over the next evaluation period?

What specific goals do you expect your department and/or yourself to achieve over the next evaluation period? These goals will be used in your next evaluation. Be as specific as possible.

Are there any other comments pertaining to your employment or this evaluation? If so, please include them below.

Signature of County Manager

Date

Signature of Department Head

Date

STEUBEN COUNTY MANAGEMENT EMPLOYEE
PERFORMANCE EVALUATION FORM

EVALUATION PROCESS

Each management employee is required to perform a self-evaluation annually. The supervising department head shall also perform an evaluation using this same form. The management employee may attach support documentation including letters, reports and commendations that support the self-evaluation. ~~In the event that a management employee believes a rating of "Excellent" for the overall evaluation is justified, he or she is required to submit a written justification and any supporting documentation which supports the "Excellent" rating.~~ ~~The evaluation.~~ The management employee and the supervising department head shall meet and compare evaluations. During the meeting, a third form shall be filled out by both parties. This form will take into account the views of both the management employee and the supervising department head. In the event an agreement cannot be reached on individual categories or the overall evaluation, the evaluation performed by the supervising department head shall prevail. In the event of an overall rating of "Needs Improvement," the supervising department head shall prepare a written justification and supporting documentation which documents specific reasons for the unsatisfactory rating. In the event of an "Excellent" joint evaluation, the supervising department head shall also prepare a written justification for the rating. The County Manager shall meet with the supervising department head to review all joint evaluations of management personnel. Subsequently, the evaluations will be reviewed by the proper Standing Committee and the Chair of the Legislature prior to final adoption of the evaluation. The decision of the department head, after review by the Standing Committee, is final unless a formal appeal is filed by the management employee.

PERFORMANCE RATING DESCRIPTIONS

| | | |
|---|----------|---|
| <i>Excellent</i> (3 points) | E | Performance is exceptional in all respects. Employee goes beyond meeting all performance expectations for the category. |
| <i>Proficient</i> (2 points) | P | Employee consistently meets performance expectations for the category. |
| <i>Acceptable</i> (1 point) | A | Performance is generally consistent with expectations for the category. Performance could be improved. |
| <i>Needs Improvement</i> (0 points) | N | Performance is unacceptable and requires immediate improvement. |

MANAGEMENT EMPLOYEE EVALUATION FORM

Excellent - 3 points; Proficient - 2 points; Acceptable - 1 point; Needs Improvement - 0 points.

Name and Title of Person Being Evaluated: _____

Supervising Department Head/Department: _____

EFFECTIVENESS: Evaluate the effectiveness of the management employee in meeting project-specific and departmental goals. Included in this analysis is the efficient use of resources. How effective is he/she in obtaining desired results for programs and projects under his/her direction?

E P A N
3 2 1 0

Comments: _____

PLANNING AND ORGANIZING: Is the management employee's work organized and completed accurately and on schedule? Consider the effectiveness achieved in systematizing workflow. Also included in this category is the employee's ability to operate within budget constraints approved by the Department Head and the Legislature.

E P A N

3 2 1 0

Comments: _____

JUDGEMENT: To what extent does the management employee execute good judgement consistent with ethical delivery of public services? Is independent judgement exercised when appropriate and is guidance asked for when necessary? Are decisions made by the management employee consistent with departmental goals and in accordance with legal and regulatory compliance?

E P A N
3 2 1 0

Comments: _____

INITIATIVE: Evaluate the management employee's ability to recognize service delivery or organizational needs and make recommendations to improve, create or eliminate programs or policies to meet such needs. Also consider attempts made by the employee to further his/her knowledge of the profession through continued training and other means of self-improvement.

E P A N
3 2 1 0

Comments: _____

COMMUNICATION: Consider efforts made to maintain open lines of communication. Does the management employee keep the department head informed of progress and/or problems being encountered by the public and staff? Is communication occurring between the management employee and other employees when necessary? Are informational requirements such as periodic reports and requests for information handled on a timely basis? Are requests for information from the public addressed in a courteous and professional manner?

E P A N
3 2 1 0

Comments: _____

KNOWLEDGE AND ABILITY: Does the management employee possess the skills and abilities necessary to complete assigned tasks? Is work performed of a high quality? Is the quantity of work performed commensurate with the level of the position when compared to other management employees in similar positions?

E P A N
3 2 1 0

Comments: _____

COOPERATION: To what extent does the management employee contribute towards reaching overall County goals and objectives? Does the management employee cooperate with other departments when necessary? Are efforts to resolve differences of opinion with other departments and/or employees pursued in a constructive, mature manner? Are efforts made to creatively overcome obstacles to departmental objectives? Does the management employee react professionally when his or her personal opinion does not prevail in a service delivery decision?

E P A N
3 2 1 0

Comments: _____

LEADERSHIP: To what extent does the management employee work with subordinates under his/her direction to develop their abilities? Does the management employee set good examples concerning work habits and work ethic? Does the management employee work well with other employees not directly under his/her supervision to increase their knowledge of the functions of the management position?

E P A N
3 2 1 0

Comments: _____

OVERALL EVALUATION

EXCELLENT

Total points 19 or above with no “Needs Improvement” in any category (if points are in this range and there is a “Needs Improvement,” overall grade is “Proficient”).

PROFICIENT

Total points 13 to 18 with 1 or fewer “Needs Improvement” (if points are in this range and there are 2 to 3 “Needs Improvement,” overall grade is “Acceptable”).

ACCEPTABLE

Total points 6 to 12 with 3 or fewer “Needs Improvement” (if points are in this range and there are 4 or more “Needs Improvement,” overall grade is “Needs Improvement”).

NEEDS IMPROVEMENT

Total points are less than 6, or 4 or more “Needs Improvement.”

TOTAL POINTS: _____

Overall Evaluation: _____ **Excellent**
_____ **Proficient**
_____ **Acceptable**
_____ **Needs Improvement**

Signature of Management Employee

Date

Signature of Department Head

Date

This section to be filled out jointly between management employee and department head.

ACTION PLAN:

What specific actions can be pursued to improve performance in any or all of the above performance areas over the next evaluation period?

What specific goals do you expect to achieve over the next evaluation period? These goals will be used in your next evaluation. Be as specific as possible.

Are there any other comments pertaining to your employment or this evaluation? If so, please include them below.

Signature of Department Head

Date

Signature of Management Employee

Date

Table 1: 2015 Management Salary Schedule

Grade Level and Salary

| GRADE | MINIMUM SALARY | MID-LEVEL SALARY | MAXIMUM SALARY |
|--------------|-----------------------|-------------------------|-----------------------|
| | | | |
| B | 36,709 | 46,987 | 57,264 |
| | | | |
| C | 40,369 | 51,473 | 62,575 |
| | | | |
| D | 44,603 | 56,719 | 68,835 |
| | | | |
| E | 48,905 | 63,227 | 77,550 |
| | | | |
| F | 53,732 | 68,509 | 83,286 |
| | | | |
| G | 59,101 | 75,362 | 91,621 |
| | | | |
| H | 65,009 | 82,895 | 100,782 |
| | | | |
| I | 71,575 | 91,272 | 111,023 |
| | | | |
| J | 78,664 | 100,304 | 121,943 |
| | | | |
| K | 86,530 | 110,338 | 134,144 |
| | | | |
| L | 95,182 | 121,371 | 147,560 |

Adjustment of salaries to mid-range in the Evaluation and Salary Plan should be made for those management employees who have served in their positions for a period in excess of (3) years.

In the event that a manager's salary reaches or exceeds the maximum salary in the grade, the manager shall receive a salary increase equal to the Consumer Price Index for the previous calendar year if he or she receives an "Excellent," "Proficient," or "Acceptable" evaluation.

Table 2: Grade Level and Point Weighing

| <u>Grade Level</u> | <u>Point Weighing</u> |
|--------------------|-----------------------|
| B | < 201 |
| C | 201 - 275 |
| D | 276 - 350 |
| E | 351 - 425 |
| F | 426 - 500 |
| G | 501 - 575 |
| H | 576 - 650 |
| I | 651 - 725 |
| J | 726 - 800 |
| K | N/A |
| L | N/A |

Table 3: Factors and Point Totals

| | <u>Factor</u> | <u>Points</u> | <u>1</u> | <u>2</u> | <u>3</u> | | |
|-----|--|---------------|----------|----------|----------|----|----|
| I | Accountability | 140 | 140 | 112 | 84 | 56 | 28 |
| II | Complexity of Duties and Responsibilities | 140 | 140 | 112 | 84 | 56 | 28 |
| III | Independent Judgement | 120 | 120 | 96 | 72 | 48 | 24 |
| IV | Impact of Program Administration | 120 | 120 | 96 | 72 | 48 | 24 |
| V | Scope of Contacts | 80 | 80 | 64 | 48 | 32 | 16 |
| VI | Supervision Exercised | 100 | 100 | 80 | 60 | 40 | 20 |
| VII | Education & Experience | 100 | 100 | 80 | 60 | 40 | 20 |

Table 4: Education and Experience

| <i>EXPERIENCE</i> | 1 | 2 | 3 | 4 | 5 |
|-------------------|----|----|----|----|-----|
| Certification | 60 | 70 | 80 | 90 | 100 |
| Masters | 50 | 60 | 70 | 80 | 90 |
| Bachelors | 40 | 50 | 60 | 70 | 80 |
| High School | 20 | 30 | 40 | 50 | 60 |
| None | 0 | 5 | 10 | 15 | 20 |

Table 5: Point Total and Grade

| <i>Position Title</i> | <i>Point Total</i> | <i>Salary Grade</i> |
|---|--------------------|---------------------|
| County Manager | N/A | L |
| County Attorney | N/A | L |
| | | |
| Commissioner of Social Services | 720 | I |
| Commissioner of Public Works | 720 | I |
| Commissioner of Finance | 720 | I |
| Public Defender | N/A | I |
| | | |
| Sheriff | 644 | H |
| Personnel Officer | 638 | H |
| Administrator, Health Care Facility | 622 | H |
| Commissioner of Finance | 618 | H |
| Director of Community Services | 600 | H |
| Director, Public Health & Nursing Services | 580 | H |
| Director of Information Technology | 580 | H |
| Director, Rehabilitation Services (HCF) | 580 | H |
| Counsel to Commissioner (DSS) | N/A | H |
| Deputy County Attorney - Municipal Affairs | N/A | H |
| Assistant District Attorney (1 st) | N/A | H |
| Felony Assistant Public Defender | N/A | H |
| | | |
| Assistant Director, Community Services | 546 | G |
| Deputy Commissioner of Public Works | 540 | G |
| Assistant Commissioner of Public Works (<i>Highways</i>) | 536 | G |
| Director of Planning | 534 | G |
| Deputy Commissioner of Finance | 525 | G |
| Probation Director II | 524 | G |
| Assistant Health Care Facility Administrator | 524 | G |
| Deputy County Manager | 520 | G |
| Deputy Personnel Officer | 520 | G |
| 911 Director | 520 | G |
| Undersheriff | 520 | G |
| Professional Engineer, Public Works | N/A | G |
| Sr. Assistant District Attorney | N/A | G |
| Sr. Assistant Public Defender | N/A | G |
| Sr. Social Services Attorney | N/A | G |
| Felony Assistant Public Defender (Full-Time) | N/A | G |
| Highway Engineer, Public Works | N/A | G |
| | | |
| Deputy Commissioner, Social Services (<i>Competitive</i>) | 498 | F |
| Deputy Commissioner, Social Services (<i>Non-Competitive</i>) | 498 | F |
| Director, Child Protective Services, DSS | 495 | F |
| Director, Real Property Tax Service Agency | 494 | F |
| Assistant Commissioner, Public Works (<i>Landfill</i>) | 478 | F |
| Risk Manager | 446 | F |
| | | |

| | | |
|---|------------|----------|
| County Clerk | 442 | F |
| Director of Finance, DSS | 438 | F |
| Jail Superintendent | 430 | F |
| Deputy Director IT | 426 | F |
| <u>Nurse Practitioner, HCF</u> | 426 | F |
| <u>Director of Nursing, HCF</u> | 426 | F |
| Assistant Director, Public Health & Nursing Services | 426 | F |
| Director of Administrative Services, Community Services | 426 | F |
| Chief Fiscal Officer (CS) | 426 | F |
| Director of Temporary & Disability Assistance, DSS | 426 | F |
| | | |
| Assistant Operations Director, CS | 420 | E |
| Director of Purchasing | 414 | E |
| Director, Office for the Aging | 412 | E |
| Home Health Care Supervisor, PH&NS | 394 | E |
| Investigator, District Attorney Office | 382 | E |
| Director, Weights & Measurers | 368 | E |
| Deputy 911 Director | 360 | E |
| Alcohol Abuse Coordinator (CS) | 356 | E |
| Deputy County Clerk | 356 | E |
| Assistant Director of Social Services | 356 | E |
| Director, Emergency Management Services | 351 | E |
| Assistant District Attorney | N/A | E |
| Social Services Attorney | N/A | E |
| <u>Assistant Public Defender</u> | <u>N/A</u> | <u>E</u> |
| | | |
| Superintendent, Building & Grounds | 342 | D |
| Clerk of Legislature | 326 | D |
| Administrative Officer, Special Children's Services | 294 | D |
| Assistant Jail Superintendent (Captain) | 290 | D |
| Deputy Director, Weights & Measures | 286 | D |
| Entry Level Attorney | N/A | D |
| | | |
| Director, Veterans' Service Agency | 266 | C |
| Youth Program Coordinator | 266 | C |
| Auditor | 262 | C |
| Records Manager | 254 | C |
| Deputy Director, Emergency Management Services | 240 | C |
| Correction Lieutenant, Jail | 240 | C |
| Attorney Trainee | N/A | C |
| | | |
| Deputy Clerk of Legislature | 199 | B |
| Court Security Supervisor | 199 | B |
| | | |