

UTAH DEPARTMENT OF HEALTH AND HUMAN SERVICES POLICY AND PROCEDURES		
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DHHS PERFORMANCE MANAGEMENT POLICY		
<p><b>RATIONALE:</b> DHHS is dedicated to the vision that all Utahns have fair and equitable opportunities to live safe and healthy lives. The ability to achieve this vision is dependent on DHHS employees meeting the requirements of employment, being aware of performance expectations, and being compensated for meeting those expectations. This policy establishes the criteria and procedures for the DHHS pay for performance system.</p> <p><i>Related Policies, Applicable Standards, Statutes: 63A-17-106, 63A-17-112, DHRM Rule R477-10, DHHS Policy 02-03 Code of Ethics and Conduct, DHHS Policy 02-05 Compensation Policy, DHHS Policy 02-08 Incentive, Bonus and Non-cash Awards policy</i></p>		
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## I. DESCRIPTION

DHHS values its employees and desires to enhance their pay for meeting or exceeding performance standards, behavioral expectations, and goals. This policy establishes guidelines and criteria for DHHS to award pay for performance.

## II. DEFINITIONS

The following terms are defined for this policy as:

- A. **AAA:** Agreement, authorization, or acknowledgement in the Utah Performance Management system.
- B. **Behavioral expectations:** The observable behavior to be performed, the conditions in which the behavior should be performed, and the minimal acceptable level of performance.
- C. **DHHS or department:** The Utah Department of Health and Human Services and collectively all its operational units.

- D. **DHHS core values:** The DHHS core values are equity, empathy, innovation, accountability, connection, efficacy, support, and impact.
- E. **DHRM:** The Division of Human Resource Management (DHRM) field office assigned to the Department of Health and Human Services.
- F. **Does not meet expectations:** Employees are not meeting UPM expectations and strategies for their position. They struggle to complete assigned work on time. Employees need an exceptional level of supervisory help. They are on or will be placed on a performance improvement plan. They may be willing or able to improve, but lack the results required for the role.
- G. **Evaluation:** An annual appraisal of an employee's performance by their supervisor.
- H. **Evaluation period:** The evaluation period refers to the annual performance cycle from April 1 to March 31 of each year. For new employees, the review period is the start date of their employment to March 31.
- I. **Employee:** A DHHS employee in a position that is designated under any schedule code.
- J. **Exceptional performer:** These employees are the highest performer(s) on the team. In addition to meeting UPM expectations and strategies under the high performer tier, they may take on multiple complex assignments and meet exceptional standards in accomplishing the vision of the department. These individuals not only perform assigned work exceptionally, but collaborate to regularly come up with solutions to problems and improve the work of their co-workers. They provide mentorship and development directly or indirectly of other employees. They are an active team member and promote a positive team environment and incorporate the department's core values into the operations of their OU.
- K. **High performer:** In addition to meeting UPM expectations and strategies in the meets expectations tier, these employees are reliable and self-sufficient. They regularly look for opportunities to improve the quality and efficiency of their work. These employees willingly take on additional tasks. They identify problems and potential solutions. They are a positive member of the team and support the department's core values.
- L. **Hybrid work:** Hybrid work includes working each week a designated number of hours (i) at a DHHS assigned state building; and (ii) at the employee's alternate worksite.
- M. **Manager:** An employee who has a direct report(s) that includes another manager or supervisor.

- N. **Meets expectations:** Employees are meeting UPM expectations and strategies for their position. Employees may have had struggles accomplishing assigned tasks. With mentorship and supervisory support, they have made improvements in their performance over the course of the year.
- O. **OU:** Operational units within DHHS, including divisions, offices, or standalone operations whose director reports to the executive director, a deputy director, or an assistant deputy director. The Utah State Hospital and Utah State Developmental Center are considered OUs.
- P. **Pay for performance:** A plan providing financial incentives to an employee for meeting or exceeding performance standards and behavioral expectations.
- Q. **Performance plan:** A written plan for each employee outlines employee expectations, including performance standards and behavioral expectations.
- R. **Performance standard:** An expectation of task completion that is tied to the duties and responsibilities of the employee.
- S. **Review period:** A quarterly appraisal of an employee's performance by their supervisor.
- T. **Supervisor:** An employee who has a direct report(s) and provides regular supervision and performance evaluation of an employee.
- U. **Employee Performance Management System:** The system of record established by the Department of Government Operations, Division of Human Resource Management. The current DHRM system is UPM.
- V. **UPM:** Utah Performance Management system.

### III. POLICY

- A. Each employee in DHHS shall have a performance plan established at the beginning of each evaluation period that will:
  - 1. Monitor progress throughout the evaluation period;
  - 2. Assess outcomes at the end of the evaluation period;
  - 3. Assign a rating to each employee; and
  - 4. Include, at a minimum, the following performance goals, performance standards, and behavioral expectations:
    - a) Professional expectations;
    - b) Department or OU goals;
    - c) Individual performance goals; and

- d) Hybrid work expectations, as outlined in DHHS Policy 02-19 Hybrid Work.
- B. Supervisors, managers, and employees shall use UPM for performance management, which will serve as the system of record for purposes of meeting the requirements of this policy.
- C. Supervisor responsibilities:
  - 1. Perform and document performance reviews and evaluations in UPM for employees they supervise at the following frequency, at a minimum:
    - a) Monthly one-on-one meetings;
    - b) Quarterly reviews; and
    - c) Annual evaluations.
  - 2. Complete all mandatory training described in Utah Code 63A-17-106(7)(e):
    - a) At least annually; and
    - b) All new supervisors shall complete the training within six months of being promoted or hired to the position of supervisor.
  - 3. Meet with each employee to set the employee's performance goals and communicate performance standards and behavioral expectations, including the minimum components established in Section III.A.4.
  - 4. Create and activate an annual performance plan for each employee they supervise by April 30 of each year or within 60 days of hire for new employees.
  - 5. Monitor the employee's performance plan as follows:
    - a) Conduct one-on-one meetings with employees at least monthly;
    - b) Conduct and document quarterly reviews; and
    - c) Conduct annual performance evaluations.
      - 1) The reviews for the quarter ending March 31 shall be treated as the annual evaluation.
      - 2) At the end of each annual evaluation period, complete a written performance review of each employee's progress in meeting the performance standards, behavioral expectations, and performance goals during the evaluation period.

- 3) Annual performance evaluations shall be finalized by March 31 of each year.
  6. Complete and close out each employee's performance plan, as follows:
    - a) At the end of each evaluation period, supervisors evaluate the employee's performance against the standards and expectations in their individual performance plan and assign a rating to each employee they supervise consisting of one of the following:
      - 1) Exceptional performer;
      - 2) High performer;
      - 3) Meets expectations; or
      - 4) Does not meet expectations.
    - b) Before closing out the annual evaluation, the employee's supervisor and manager, at a minimum, shall review and confirm each employee's rating.
    - c) After completing the review required in Section III.C.6.(b), but before closing out the employee's performance plan, conduct an annual performance evaluation meeting with each employee.
      - 1) Review the employee's performance during the preceding year and discuss the employee's overall performance rating and the basis for the rating.
      - 2) Provide each employee an opportunity to provide written comments pertaining to their performance evaluation.
    - d) Close out each employee's performance plan within the evaluation period, in accordance with UPM.
    - e) Each OU shall establish a procedure by June 30 each year to make sure each employee's evaluation will be reviewed by the manager and closed out by the supervisor.
  7. Complete all employee responsibilities established in Section III.D.
- D. Employee responsibilities:
1. At the beginning of the evaluation period, meet with their supervisor to set the employee's performance goals and communicate performance standards and behavioral expectations, including the minimum components established in Section III.A.4.

2. Throughout each quarterly review period, work to meet the performance standards, behavioral expectations, and goals contained in their performance plan.
  3. Participate in ongoing monitoring of their performance plan by attending:
    - a) Monthly one-on-one meetings;
    - b) Quarterly reviews; and
    - c) Annual performance evaluations.
  4. After monthly one-on-one meetings or quarterly reviews, employees shall "Acknowledge" all assigned AAAs within the scheduled time frame. If the one-on-one meeting did not occur during a month, the employee shall not "Acknowledge" the AAA.
  5. Take all actions necessary to assist their supervisor in finalizing each year's annual performance evaluation.
- E. Manager responsibilities:
1. Make sure each supervisor they manage completes all mandatory training described in Section III.C.2.
  2. Review, provide feedback, and approve supervisors' employees' annual performance evaluation ratings, as required in Section III.C.6.(b).
  3. Complete all employee responsibilities established in Section III.D. and supervisor responsibilities established in Section III.C.
- F. Pay for performance
1. Subject to availability of funds, pay increases shall be based on employee performance rating.
    - a) An employee whose annual performance evaluation rating is "exceptional performer" or "high performer" may receive a pay for performance increase for that performance period.
    - b) The pay for performance amount for an "exceptional performer" rating shall exceed the amount given to employees with a "high performer" rating.
    - c) An employee whose annual performance evaluation rating is "meets expectations" or "does not meet expectations" shall not receive pay for performance for that performance period.
  2. Pay for performance is subject to DHRM rules.

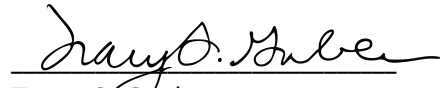
#### **IV. PROCEDURE**

- A. Performance plan requirements
  - 1. By March 1 of each year, the DHHS executive director shall develop the requirements for the components of the plan outlined in Section III.A.4. Those requirements shall be developed into a template for DHHS employees.
  - 2. In addition to the requirements established in Section IV.A.1., an OU may establish additional required components of the performance plan for their OU.
- B. Performance plans
  - 1. Supervisors shall activate the employee's performance plan, as required in Section III.C.4., in UPM using the DHHS template.
- C. Monthly one-on-one meetings
  - 1. After the supervisor conducts a monthly one-one-one meeting, employees shall "Acknowledge" in UPM all assigned AAAs within the scheduled time frame. If the one-on-one meeting did not occur during a month, the employee shall not "Acknowledge" the AAA.
- D. Quarterly reviews
  - 1. At least once per quarter, the supervisors shall provide a written evaluation of each employee's progress in meeting the performance standards, behavioral expectations, and performance goals contained in the employee's performance plan.
    - a) Document verbal feedback provided to the employee during the quarterly evaluation period.
    - b) Explain the basis for the quarterly evaluation to the employee.
    - c) Provide the employee an opportunity to review and provide feedback related to their quarterly evaluation.
  - 2. After the supervisor conducts a quarterly one-one-one meeting, employees shall "Acknowledge" in UPM all assigned AAAs within the scheduled time frame. If the quarterly meeting did not occur during a month, the employee shall not "Acknowledge" the AAA.
- E. Annual performance evaluations
  - 1. After completing the requirements for an annual performance evaluation, supervisors shall finalize the employee's performance plan, as required in Section III.C.6. in UPM.
- F. Timelines
  - 1. Annual performance plans are to be activated no later than April 30 of each year or within 60 days of hire for new employees.

2. Quarterly performance reviews are due in June, September, and December of each year.
3. Annual performance reviews are to be closed out no later than March 30 of each year.

**V. EXCEPTIONS**

- A. The executive director may make exceptions to this policy, in accordance with procedures outlined in DHHS Policy 01-01.

  
Tracy S. Gruber  
Executive Director

**August 26, 2024**  
Date