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| <p style="text-align: center;">City of Petaluma, CA Administrative Policy</p> | <p>Number:</p> <p>Last Revision Date: March 20, 2000</p> <p>Date: May 14, 2003</p> <p>Page:</p> |
| <p>Subject: Performance Appraisal Philosophy and Policy</p> | <p>Authority: City Manager</p> <p style="text-align: center;"> City Manager</p> |

I. PURPOSE

The best performance feedback is delivered consistently, continuously and given with the intent to assist employees in the performance of their daily tasks. The written performance appraisal tool is simply a summary of the feedback employees have received from their supervisors throughout the year.

The written performance appraisal process is intended to:

- Recognize those employees who have sustained superior performance throughout the year.
- Encourage continuous employee growth and development
- Ensure that the City and Department's standards are met.
- Be a vehicle to identify necessary work performance changes that will enhance an employee's success in their job.
- Stimulate discussion between the supervisor and employee that will guide the employee in making the best possible choices when it comes to conduct on the job, and assist supervisors in the development of resources needed by the employee.
- Provide feedback on how well the employee's conduct and performance reflects the City and Department's organizational values.
- Serve as documentation during consideration for employment actions such as merit increases, promotions and disciplinary action.

II. POLICY

The Annual Performance Appraisal process shall not replace daily communication and feedback between the supervisor and employee. It shall be used as a tool to summarize and evaluate an employee's performance throughout the past rating period. The City of Petaluma has authorized and implemented the KnowledgePoint Performance Impact application as an on-line electronic performance rating tool. Departments are encouraged to use the Performance Impact application, although it is not mandatory.

In order to provide a fair, consistent, objective and legally defensible process, all supervisors in the City of Petaluma shall conduct and implement the Annual Performance Appraisal procedures of this policy as outlined below.

III. PROCEDURES

1. Supervisor's Folder: A supervisor's folder must be maintained on each employee. Supervisors shall document significant actions, both positive and negative actions, displayed by employees throughout the appraisal period.

This information shall be kept in the supervisor's folder. The folder shall:

- a. Contain notes, which are factual and written professionally.
 - b. Do not include any information normally found in the employee's personnel file, such as information on sick leave, worker's compensation, risk management, medical, payroll processing, etc.
 - c. Remain confidential. It is important that the employee and supervisor discuss the actions as they occur so there are no surprises during the formal appraisal discussion. It is generally recommended that a record of the discussion be initialed.
2. Timing: The Annual Performance Appraisals shall be conducted annually, upon the employee's rating date and/or upon transfer to a new supervisor.
 3. Merit Increase: As defined in the Personnel Rules and Regulations, is a "salary advancement shall not be automatic but shall depend upon increased service value of an employee to the City as exemplified by such factors as recommendations of the supervisor, performance, record, special training or other pertinent evidence." As a way to document this, a Performance Appraisal is mandatory, and must have Department Head approval before a Merit Increase is given to an employee.
 4. Informal Appraisals: The City of Petaluma encourages, but does not mandate, informal appraisals to be conducted six months before the Annual Performance Appraisal to ensure that the employee is getting the needed feedback to be successful on the job. Individual department policies may require more frequent feedback.
 5. Effective Annual Performance Appraisal must include the following steps:
 - a. At the beginning of the appraisal period, the supervisor and employee discuss the appraisal process, supervisor expectations, and goals for the employee over the next twelve months.
 - b. Throughout the year, the supervisor and employee discuss the employee's job performance, accomplishments, as well as areas for improvement. Supervisor's notes about the discussion are placed in the folder. Discussion shall also include: obstacles the employee faces in the job performance, and what the employee needs to do to achieve the highest standards of performance.
 - c. Prior to the Annual Performance Evaluation discussion the supervisor shall:

- Give the employee a blank copy of the appraisal form to fill out and ask the employee to write down their accomplishments for the appraisal period and their goals for the following twelve-month period.
 - Contact coworkers, customers and others, if applicable, for feedback on the employee's performance.
 - Using all available resources, such as the employee's current job description, supervisor's notes and feedback from others, fill out the appraisal form. In many cases, performance competencies will be a primary tool.
- d. During the Annual Performance Appraisal discussion:
- The supervisor and employee shall discuss each element, their rating and why that rating was established. Ideally, agreement will be reached on each performance rating. When there is a disagreement, the rating shall be determined by the supervisor. See section 6 below for procedures to be followed when an employee disagrees with the appraisal.
 - Employee strengths, areas for improvement and career goals will be considered when the supervisor and employee jointly establish specific measurable goals for the following appraisal year. Goals shall be comprehensive and should represent professional, individual and career development opportunities.
- e. After the Annual Performance Appraisal discussion:
- The supervisor will make any changes agreed to during the performance appraisal and forward the final copy of the appraisal to the employee for his/her signature.
 - The signed appraisal will be forwarded through the department's normal levels of supervisory authority for concurrence.
 - After the department head review and signature the appraisal will be forwarded to Human Resources to be added to the employee's Personnel File.
6. When an employee disagrees with the final appraisal they have the right to state their disagreement, in writing, within fourteen calendar days of receipt of the appraisal. The supervisor and the next level supervisor will review the written disagreement. After department head review and signature (acknowledging receipt), the written disagreement will then be forwarded to Human Resources within 30 calendar days. It will be attached to the performance appraisal and maintained in the employee's personnel file.
7. Special Appraisals are warranted when an employee's poor performance is having a dramatic impact on the work group, customers and/or the City's ability to provide citizens with good customer service. The purpose of a Special Appraisal is to document specific examples of problem performance and work with the employee to develop a specific action plan and time frame in which to correct their behavior.
- Special Appraisals are also warranted when an employee's performance has been outstanding and has had a dramatic, positive impact on the work group, City and/or citizens.
 - Special Appraisals will also be completed upon a transfer to a new supervisor or department.

8. Confidentiality: Signed original performance appraisal employee files are not to be kept in departmental offices, but should be kept in the Department of Human Resources.

IV. DEFINITIONS

- *Annual Performance Appraisal*--The annual employee appraisal compiled by the direct supervisor and reviewed by the employee with input and comments (as applicable).
- *Informal Performance Appraisal*--An appraisal that is not forwarded to the Human Resources Department, which may be conducted six months before the annual performance appraisal, or as deemed appropriate by the supervisor. This appraisal is not forwarded to the Human Resources Department and is not to be included in the employee's official personnel file.
- *Merit Increase* – A salary advancement that is a step increase in the pay range established for the employee's classification. Employees are eligible for a pay advance or step increase from Step 1 after a six (6) month period and after a twelve (12) month period for each step after Step 2.
- *Supervisor's Folder*--Notes, observations, written goals, and written communication about an employee's performance kept by each individual supervisor.
- *Employee*—For the purpose of this policy, employee refers to all regular part-time and regular full time employees of the City of Petaluma.
- *Special Appraisals*—Appraisals that take place outside the standard time frame identified, such as probationary appraisals.
- *Rating Official*—The immediate supervisor is the rating official.
- *Reviewing Official*—Department head.