



Administrative Regulations Office of the Mayor

Title: PERFORMANCE EVALUATION SYSTEM

A.R. Number: 5.7 **Effective Date:** 2/1/2007 **Page:** 1 of 9

Supersedes: Performance Evaluation System **A.R.:** 5.7 **DATED:** 4/1/2002

I. PURPOSE

- A. This policy outlines the Employee Performance Evaluation System (EPES) and the process to be followed for evaluating City of Richmond employees.
- B. The goal of the performance evaluation system is to promote the continuous development of employees, resulting in the improvement of performance, keeping the goals and objectives of a high-performance organization.
- C. All City of Richmond employees in agencies whose Directors are appointed by the Chief Administrative Officer, classified or unclassified, shall be evaluated at least annually.
- D. Agencies whose directors are not appointed by the Chief Administrative Officer may choose to follow this Regulation, but are not required to do so.
- E. The Appointing Authority is required to ensure that the necessary training, policy guidance and management involvement, is provided to ensure the success of the EPES.
- F. Employees in the pay range of 23 and above will not be evaluated under this system.
- G. The performance rating of an employee is not a guarantee of employment with the City of Richmond.

II. POLICY

- A. General
 - 1. With the approval of the Department of Human Resources, an Appointing Authority may adopt additional procedures to allow for agency-specific interpretation and application provided that:
 - a. Amendments do not conflict with this Regulation, and
 - b. In the event of conflicts, this Regulation will supersede.
 - 2. The printing and/or procurement of performance evaluation forms and any other administrative costs associated with the EPES will be incurred by each agency.
 - 3. A copy of the performance evaluation form and any Regulation supplement will be on file in the Department of Human Resources.
 - 4. An employee's performance evaluation is not grievable except under the conditions provided in the Grievance and Appeal Section of the Personnel Rules for the Classified Service or under the provisions of law.
 - 5. To evaluate an employee's performance, the supervisor must have supervised the employee for at least ninety (90) days.
 - 6. Employee Performance Evaluation Period:
 - a. For probationary employees, this period begins on the date of hire, and
 - b. For tenured employees the period extends from July 1 through June 30 of the following year.
- B. Probationary Evaluations
 - 1. During the probationary period City employees will be evaluated during the first twelve months of their employment with the City.



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- a. Within thirty (30) days of employment with the City, probationary employees shall receive:
 - i. A copy of this Regulation, in addition to any related departmental procedures; and
 - ii. The appropriate EPES form along with other related materials.
 - b. Probationary employees shall be evaluated through the following process:
 - i. A Planning Meeting within thirty (30) days of employment with the City,
 - ii. At least one Interim Progress Meeting within 180 days of employment with the City or as needed, and
 - iii. The Annual Performance Evaluation Meeting at least thirty (30) days prior to the completion of the probationary period.
 - iv. The next performance evaluation period for a newly tenured employee will be through the end date of the next regularly standard employee performance evaluation period in effect for tenured city employees, unless there are fewer than ninety (90) days between the end of the probationary period and the standard evaluation period end date.
 - v. If there are less than ninety (90) days between the end of the probationary period and the evaluation period end date, then the newly tenured employee will be evaluated during the following evaluation period, to include the additional (less than 90) days from the previous evaluation period.
 2. The receipt of a satisfactory rating on an interim performance evaluation does not change the probationary employee's at-will employment status. During the probationary period, either the employer or the employee may terminate employment with the City for any or no reason.
- C. Annual Evaluations
1. Classified and unclassified employees shall be evaluated by their immediate supervisor through the following activities:
 - a. Establishment of employee's priorities by the supervisor for the evaluation period in consultation with the employee.
 - b. Approval of employee's priorities from the Appointing Authority.
 - c. Participation in an Initial Planning Meeting within thirty (30) days of the evaluation period.
 - d. Participation in at least one Interim Progress Meeting with the employee within 180 days of the evaluation period, or as needed.
 - e. Participation in a Final Performance Evaluation Meeting at least thirty (30) days prior to the end of the Performance Evaluation Period.
 3. Departments may, but are not required to, apply these regulations completely or in part to employees in the following categories:
 - a. Temporary,
 - b. Seasonal, or
 - c. Non-Permanent Grant Funded.



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D. Performance Evaluation Meetings

1. Planning Meeting

- a. The purpose of the Planning Meeting serves as an opportunity for the supervisor and employee to establish components by which the employee will be evaluated on over the performance evaluation period.
- b. In preparation for the Planning Meeting the supervisor must consult with the employee in the development of:
 - i. Performance Factor Values, in accordance with Section ii of this regulation;
 - ii. Priorities for the next Evaluation Period; and
 - iii. To acquire approval from the Appointing Authority for the employee's Performance Factor Values and Priorities.
- c. Items for discussion items in the Planning Meeting may include, but are not limited to:
 - i. The purpose of the Employee Performance Evaluation System;
 - ii. Performance Factors and their values;
 - iii. Performance rating and the ranges;
 - iv. Salary increase levels and the applicable ranges;
 - v. Training and Development;
 - vi. Employee's Priorities for the Evaluation Period; and
 - vii. Past performance in comparison to current expectations.

2. Interim Progress Meeting

- a. The purpose of the Interim Progress Meeting is to allow the supervisor to consult with the employee on their performance prior to the Annual Report. Giving the employee appropriate time to make any adjustment deemed necessary to improve the anticipated overall Performance rating.
- b. The Supervisor will rate the employee based on the scale outlined in Section II (D)(3.b.iii)(b)(iii) of this regulation.
- c. The Interim Progress Meeting is not intended to be used in the final Performance Rating Range or to determine eligibility for salary increase levels.
- d. Employees will participate in at least one Interim Progress Meeting within 180 days after the beginning of the performance evaluation period. Additional Interim Progress Meetings may be scheduled if the employee:
 - i. Is considered to be in probationary status;
 - ii. Previous Annual Performance Rating Range was 100 – 199; or
 - iii. If it is determined that additional Interim Progress Meetings is deemed necessary for the development of the employee.



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3. Final Meeting

- a. The purpose of the Final Performance Evaluation Meeting is to present the employee's Performance Rating Range. The supervisor should seek the employee's comments and suggestions to create an atmosphere in which the employee is encouraged to speak candidly and reply to criticisms or suggestions offered. The meeting provides the supervisor and employee with an opportunity to engage in an open and constructive discussion regarding the employee's:
 - i. Job performance;
 - ii. Accomplishments;
 - iii. Areas of needed improvement;
 - iv. Training and development; and
 - v. Priorities for the next evaluation period.
- b. During the annual meeting the supervisor should discuss the following items with the employee:
 - i. Evaluation Factor: As it relates to the employee's specific job title and function over the evaluation period;
 - ii. Value: The level of importance that each Evaluation Factor has on the employee's performance in relation to other Evaluation Factors; and
 - iii. Annual Rate: this item rates the employee's performance on each evaluation factor based on the following scale:
 1. **4 = Exceptional:** Employee's performance was extremely effective based on evaluated factors and established priorities during the evaluation period. Their performance resulted in extraordinary achievements, with significant contributions to overall objectives of the City of Richmond.
 2. **3 = Exceeds Standards:** Employee frequently generated results that were above established expectations for the position during the evaluation period, and contributed in a superior manner to support the City's overall mission. Their performance resulted in major contributions to the overall objectives of the City of Richmond.
 3. **2 = Meets Standards:** Moderately effective in the fulfillment of all established evaluation factors for the performance period. Their performance supported the achievement of the overall objectives of the City of Richmond.



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4. **1 = Below Standards:** Performance often failed to meet the established evaluation factors for the performance period by falling short of desired results. Their performance was not effective in the achievement of the overall objectives of the City of Richmond.

Note: In accordance with Personnel Rule 4.4, the Appointing Authority may recommend to the Director of Human Resources that an employee be demoted to a lower classification within the Agency due to performance.

- iv. Scores: This item represents the Value multiplied by the Rate and the process is repeated for each of the Evaluation Factors.
- v. Performance Rating: this item is the total of all the Scores from Section iv above.
- vi. Performance Rating Range: This item identifies the employee's eligibility for salary increase in accordance with Section 0 of this regulation, as outlined below
 - a. 100 - 199: Not eligible for salary increase,
 - b. 200 - 299: Eligible for C level salary increase,
 - c. 300 - 379: Eligible for B level salary increase,
 - d. 380 - 400: Eligible for A level salary increase,
- vii. Examples of accomplishments that resulted in an overall performance of an overall rating of 380 - 400.
- viii. Examples of actions that resulted in an overall performance of an overall rating of 100 - 199.
- ix. Training and development that would help the employee improve over the next Evaluation Period.
 - 1. Training and development is not limited to formal training such as classes, conferences and formal workshops.
 - 2. Supervisors may provide developmental opportunities for employees through various activities such as assigning new tasks, delegating more responsibilities, cross training and job shadowing.



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3. At the end of the Annual Meeting the employee will be asked to sign the performance evaluation form. The employee must be informed that their signature does not indicate agreement with the evaluation. It only indicates that the employee has participated in the process.
4. The supervisor will provide a copy of the completed evaluation form to the employee.

III. PROCEDURES

- A. The Appointing Authority will consult with the Department of Human Resources to ensure the Values for Evaluation Factors are consistent and aligned with the City's goals and objectives.
 1. Appointing Authorities will submit the EPES Value Summary form to the Director of the Department of Human Resources, identifying the class titles that will be included in each of the value structures.
- B. Prior to the evaluation being presented to the employee at the initial meeting, the supervisor must submit the recommended employee's performance evaluation to the Appointing Authority for review of the:
 1. Training and Development plan, and
 2. Priorities for the Evaluation Period.
- C. The supervisor will then conduct a Planning Meeting with the employee in accordance with Section 1 of this regulation.
- D. The Interim Progress Meeting in accordance with Section 2 of this regulation will follow.
- E. Prior to the supervisor giving the employee the final rating, it needs to be reviewed and agreed to by the agency head.
- F. At the end of the Evaluation Period as identified in Section 6, the supervisor will conduct the Annual Evaluation Meeting as outlined in Section 3 of this regulation.
- G. The supervisor will then forward the completed form(s) to the Human Resource Designee for the completion of the Performance Evaluation spreadsheet to include employees:
 - a. Employee Identification Number
 - b. Name, and
 - c. Salary increase level eligibility.
 - d. The spreadsheet will be forwarded to the Department of Human Resources' Chief of Operations and Policy within 30 days after the completion of the Evaluation Period.
- H. The original performance evaluation form will be forwarded to the Department of Human Resources for filing in the employee's official personnel file.



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IV. RESPONSIBILITIES

- A. To ensure the effective implementation of this regulation all parties share the responsibility for implementation and application of this regulation.
1. Employee responsibilities include, but are not limited to:
 - a. Understand the duties and responsibilities required of the position in addition to the work unit goals, division, department, and the City's strategic goals.
 - b. Be aware of the assigned priorities and values by which they will be rated, as well as all aspects of the EPES,
 - c. Contribute to the development of the Performance Factors and provide performance input throughout the evaluation period.
 - d. Requesting a copy of the initial Performance Evaluation form, initialing the form after the Interim Progress Meeting and a signed copy of the completed evaluation instrument.
 - e. Signing the Performance Evaluation Form at the conclusion of the meeting to indicate that they participated in the process. Refusal to sign does not make the performance evaluation unofficial.
 - f. Submitting a written memo identifying any disagreements within ten days to the Appointing Authority. This memo will be attached to the employee's Performance Evaluation Form.
 2. Supervisor responsibilities include, but are not limited to:
 - a. Communicate the established Values for the Performance Factors to employees under their supervision at the beginning of the performance evaluation cycle.
 - b. The supervisor shall regularly document employees' performance and provide feedback to the employee throughout the evaluation period.
 - c. Conduct the required Initial Planning, Interim Progress and Annual meetings as outlined in Section D of this regulation.
 3. Appointing Authority responsibilities include, but are not limited to:
 - a. The designation of someone to perform the responsibilities outlined in this regulation as needed.
 - b. Establishing the Values for each performance factor for the respective employee classes under their jurisdiction.
 - c. Ensuring that the department is in compliance with this regulation.
 - d. Establishing consistency, completeness, documentation, and accuracy so that the final evaluation represents a consensus view of the employee's performance.
 - e. Selection of a department Performance Evaluation Coordinator for the agency who will administer the performance evaluation system in accordance with this Administrative Regulation and any other established departmental procedures. The Performance Evaluation Coordinator will also be the primary point of contact for agency employees concerning performance evaluation issues.



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- f. The Appointing Authority will ensure that no more than 10% of their agency's workforce is eligible for the A level salary increase and 30% of their agency's workforce is eligible for the B level salary increase, unless adjusted by the Chief Administrative Officer based on unique circumstances involving agency performance.
4. The responsibilities of the Department of Human Resources' Director include, but are not limited to:
 - a. Advocating for the compliance of this regulation.
 - b. Providing general guidance and training on the performance evaluation system, and as needed, to the Appointing Authorities.
 - c. Maintaining the original copy of each employee's evaluation in his/her official personnel file.
 - d. Approving changes to the Employee Performance Evaluation System.

B. Change of Supervisor during Evaluation Period

1. If an employee's supervisor changes position during the evaluation period, the supervisor is required to rate the employee if the employee was supervised for at least ninety calendar days of the current evaluation period. A copy of the performance evaluation should be provided to:
 - a. The new supervisor of the employee,
 - b. The employee, and
 - c. The Department of Human Resources.
2. If a supervisor leaves City service through resignation or retirement, they are required to complete an evaluation of their employees, providing they have supervised the employee for at least ninety calendar days prior to separating from City service.
3. If a supervisor changes their position through demotion, dismissal, forfeiture or reduction in force at any time in the evaluation cycle, they are not allowed to complete an evaluation of their employees. The employee will be rated for this period by the Appointing Authority.
4. When an employee leaves a position for any reason after completing ninety days of the evaluation period and they have been supervised by the same person for at least ninety days, that supervisor must prepare and forward a performance evaluation to complete the employee performance record to the Department of Human Resources.

C. Compensation

1. Annual salary increases will be determined by City Council for each fiscal year after the completion of the evaluation period.
2. All sworn officers in the following classifications of the Fire and Police Department will utilize this EPES for evaluation purposes only:
 - a. Recruit;
 - b. All levels of Fire and Police Officers;
 - c. Police Sergeant;
 - d. Fire and Police Lieutenants;
 - e. Fire and Police Captain; and
 - f. Battalion Chief.



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V. DEFINITIONS

- A. The definitions listed in the Personnel Rules for the Classified Service (General Provisions) shall apply to this policy except as supplemented below.
1. **Employee:** A paid employee in the classified or unclassified service occupying a permanent or temporary position.
 2. **Evaluation Period:** An established time period during which an employee's performance is evaluated in accordance with this Regulation and any approved supplement.
 3. **Days:** Unless otherwise stated, all references to days in this regulation refer to calendar days.
 4. **Official Rating:** A performance evaluation rating that is completed and filed in the employee's personnel file in the Department of Human Resources.
 5. **Performance Evaluation System:** Provides effective performance feedback to motivate employees, to provide career and skill development, to counsel on performance issues and to manage performance assessment process.

VI. REGULATION UPDATE

- A. The Office of the Mayor and the Department of Human Resources shall be responsible for modifications to this regulation.

APPROVED:

MAYOR