

City of Riverside, California  
Human Resources Policy and Procedure Manual

Approved:

*M. Stouffer*  
Human Resources Director

*[Signature]*  
City Manager

Number: IV-1 Effective Date: 07/06

**SUBJECT: PERFORMANCE EVALUATION**

**PURPOSE:**

To provide a systematic method for the evaluation, recording and improvement of the work effectiveness of employees.

**POLICY:**

All non-temporary, non-probationary employees shall have their job performance evaluated on a systematic, scheduled basis. Timing of such performance appraisals will depend on the status of the employee, the type of personnel action involved and, in certain cases, by bargaining unit involved. For further information, see the Supervisor's Guide to Performance Evaluation manual.

**1. Responsibilities**

Basic responsibility for effective administration of the performance evaluation system shall be in the individual departments with the Human Resources Department providing support services.

**2. Standards**

Each department is expected to develop and use performance standards covering the various job classes utilized in the department. These performance standards should reference the quantity and quality of work, the manner in which service is rendered, and such characteristics as shall measure the value of individual employees in those job classes.

Employees shall be informed of such performance standards prior to being evaluated against them.

**3. Preparation**

All employees shall have their job performance evaluated by their immediate supervisor on a systematic, scheduled basis as listed below.

## **Regular Full-time Employees**

- **Annual Appraisals** - Employees in regular full-time positions will have their performance evaluated once each year on their anniversary date. For employees in regular part-time positions, yearly evaluations will be required, since up to two years may be required before eligibility for a merit increase evaluation is attained.
- **Review Date** - The review date for performance evaluations shall be subject to adjustment for all non-work time absences of 20 working days or more.

**Regular Part-time Employees** - The review date for performance evaluations of regular part time employees shall be at the completion of 2080 hours worked.

**Merit Increase Evaluations** - For employees in regular full-time and regular part-time positions of a job class whose salary range has steps other than a flat rate, the following schedule applies only when performance is satisfactory:

- Step 2 after completion of 6 months (1,040 hours) of service
- Step 3 after completion of 12 months (2,080 hours) of service from Step 2
- Each succeeding step to maximum rate after completion of 12 months (2,080 hours) of service from preceding step

In an effort to submit timely merit increases, it is not necessary for the employee's performance evaluation to accompany the personnel action form at the time employee's merit increase is due. However, departments should make every effort to provide timely feedback in accordance with the performance evaluation schedule, on the work effectiveness of their employees.

**Interim Evaluations** – Interim or supplemental evaluations may be initiated by a supervisor whenever the supervisor believes it to be in the best interest of the employee, supervisor, or department to do so. This type of evaluation is usually made whenever an employee's performance and/or work conduct has markedly changed since a previous evaluation or whenever an employee has failed to improve after a previous less than satisfactory evaluation, counseling or training.

All performance evaluations shall be recorded on the City Performance Evaluation form. Supplemental department specific evaluation forms and additional explanatory pages may be added as necessary to provide a complete evaluation.

## **THE EVALUATION FORM**

The City of Riverside Performance Appraisal consists of the following sections:

**Part I - Key Results** - This section is comprised of three subsections: (a) Objectives

Accomplished; (b) Additional Accomplishments; and (c) Unaccomplished Objectives. This information provides feedback to employees on key objectives developed at the beginning of the performance evaluation period. Supervisors compare the accomplishments with the planned objectives. The opportunity is also available to acknowledge accomplishments that exceeded the planned objective(s) or that were not achieved. This section has a direct relation to Part VI (Performance Improvement Plan).

**Part II - Job Behaviors** - Job Behavior provides employees with the supervisor's observation of daily work habits and behaviors. Supervisors should use the whole evaluation period to determine the employee's behavior. Some sections list only "critical" as a selection because that function is considered as critical for all employees. Critical is defined as those behaviors which can cause severe consequences to the department or co-workers. Applicable behaviors are pertinent to those regularly performed activities. The behavior should have direct relationship to the completion of the planned objectives and daily work activities.

**Part III - Overall Performance** - This section has a direct correlation with Sections 1 and 2. After developing and/or applying job standards and evaluating an employee's job performance, an overall evaluation rating is to be given. There is no formula for determining this overall rating. The supervisor has to consider the employee's performance in six performance areas against the standards of performance expected of all individuals performing those duties in the department to make this decision. The overall rating should be consistent with the employee's completion of major objectives and their regular work behavior.

**Part IV - Performance Improvement Plan** - The Performance Improvement Plan provides the employee with a plan to aid in improvement and correcting deficiencies or assist in development toward promotion. The plan should be specific and able to complete during the evaluation period. The plan must be completed when employees are deficient (overall rating of 1, 2 or 3) and there are major obstacles for achieving a satisfactory performance evaluation. Action can include completion of courses and/or change in behavior. Supervisors should refer to documented incidents that are causing problems in performance.

**Part V – Performance Summary** – This section is required when an overall "outstanding" rating is given in an evaluation in order to highlight the accomplishments that necessitated this superior rating.

**Part VI – Goals and Objectives for Next Performance Appraisal Review Period** - The supervisor must discuss the key objectives to be accomplished during the evaluation period with the employee.

Supervisors should consider the goals of the division or department and how the employee's job performance will affect their achievement. Employee comments and recommendations are encouraged.

This portion of the evaluation should be periodically discussed with the employee during the following evaluation period. Supervisors are to refer to the planned objectives when completing Part I (Key Results) at the end of the evaluation period.

**Part VII - Employee's Comments and Signature** - The employee's signature is an acknowledgment that the performance appraisal was discussed. The signature does not necessarily mean that the employee agrees with evaluation content. If there is a refusal to sign a performance evaluation, the supervisor shall have the refusal witnessed by another employee with the refusal noted on the performance evaluation and signed and dated by the witness. The employee may enter remarks in the space provided or attach a separate written response specific to the evaluation. Performance Evaluations shall also contain the signatures of the rater, reviewer and/or department head.

Upon completion of the department review, an employee shall receive a copy of the performance evaluation and the department may place a copy in an internal file.

The Human Resources Department will review completed evaluations, as appropriate, and will maintain a copy of the evaluation in the employee's personnel file.

**PROCEDURE:**

**Responsibility**

**Action**

Human Resources

1. Provides the evaluation date for each employee to the department and monitors the timeliness of the evaluation, especially for the end of probation period, and maintains each employee's performance appraisal history in his/her personnel folder.

Supervisor

2. Assists in the development of job related standards for each job class supervised; completes the performance appraisal accurately and objectively on the basis of observation and/or knowledge of an employee's work; reviews and obtains approval of performance appraisals within the appropriate departmental line of authority; conducts the evaluation interview with an employee.

Division Head

3. Develops job related standards for each job classification in the division;

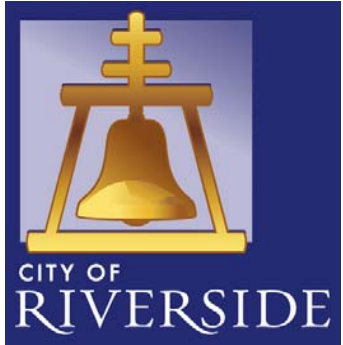
receives and/or distributes performance appraisal forms to the appropriate supervisors; reviews completed evaluations.

Department Head

4. Approves all job related standards and reviews, approves and signs each completed performance appraisal. This responsibility may be delegated in the larger City departments.

Attachment:

1. Performance Evaluation Form



# CITY OF RIVERSIDE

## PERFORMANCE APPRAISAL

<input type="checkbox"/> ANNUAL REVIEW
<input type="checkbox"/> INTERIM REVIEW

Name: \_\_\_\_\_

Department: \_\_\_\_\_

Position Title: \_\_\_\_\_

Supervisor's Name: \_\_\_\_\_

Date of Last Performance Review: \_\_\_\_\_

Supervisor's Title: \_\_\_\_\_

Review Period: \_\_\_\_\_

Due Date of this Performance Review: \_\_\_\_\_

Date Started in Current Position: \_\_\_\_\_

Next Review Date: \_\_\_\_\_

Employee ID Number: \_\_\_\_\_

## **PART I – KEY RESULTS**

### **A. Objectives Accomplished**

List the specific goals and objectives accomplished by the employee during the appraisal period, compared with the results expected from goals established in the previous appraisal (Part VI), or in other statement of goals and responsibilities from job descriptions, etc.

### **B. Additional Accomplishments**

List any exceptional accomplishments not shown in Section A above that the employee achieved during the appraisal period and which deserve recognition.

**C. Unaccomplished Objectives**

List the specific goals and objectives not accomplished by the employee during the appraisal period, compared with the expected results as defined in the previous appraisal (Part VI), or another statement of goals and responsibilities from job descriptions, etc. State why the expected results were not achieved.

## PART II – JOB BEHAVIORS

Behaviors	Applicability	Evaluation			
1. How productive is the Employee? (Quantity of work? Work completed on time? Quality of work? Accuracy? Job knowledge?)	Critical	<input type="checkbox"/> Quantity of work completed is not acceptable. Work usually has errors of such quantity and magnitude as to question the results. Knowledge is limited to certain areas; sufficient to handle only routine tasks.	<input type="checkbox"/> Meets and occasionally exceeds standards, rarely below expectations. Work is basically correct, but occasionally lacks sufficient detail to classify as a professional job. General knowledge is sufficient to handle most tasks covering all areas of the job.	<input type="checkbox"/> Consistently produces high volume, frequently exceeding expected standards. Accurate when and where it really counts, may have some minor flaws that do not affect the work but merely prevent it from being labeled as outstanding. Broad general knowledge and expertise in most areas; can handle advanced and unusual tasks.	<input type="checkbox"/> Always exceeds productivity standards, objectives and goals. Always accurate at all levels and during all phases of completion; a viable standard of excellence. Exceptional knowledge, sufficient to handle any assignment, even the most complex.
<b>Comments:</b>					
2. How effectively does this person initiate work? (Starts assignments without prompting? Independently contributes ideas and completes projects?)	Critical	<input type="checkbox"/> Requires repetitive direction and instructions to complete task.	<input type="checkbox"/> Demonstrates some self-starting characteristics.	<input type="checkbox"/> Exhibits above average initiative but not consistently; generally thorough.	<input type="checkbox"/> Displays extraordinary initiative; a self-starter with a great motivation to complete desired objectives promptly.
<b>Comments:</b>					
3. How well does this person adapt to changes in work situations? (Easily adjusts to new people, ideas, and procedures?)	Critical	<input type="checkbox"/> Adjustment is unacceptable and may need some improvement.	<input type="checkbox"/> Adjusts satisfactorily within necessary time-frame.	<input type="checkbox"/> Adjusts quickly.	<input type="checkbox"/> Thrives on change; adjusts very rapidly.
<b>Comments:</b>					
4. How well does this person plan and organize work? (Set objectives and priorities? Manage personal resources to meet objectives?)	Critical	<input type="checkbox"/> Minimal planning with regard to objectives or priorities.	<input type="checkbox"/> Work plans and work behaviors are consistent with group objectives and priorities.	<input type="checkbox"/> Plans in detail, considers objectives and priorities, adjusts readily to new tasks required.	<input type="checkbox"/> Planning is exceptionally complete in relation to objectives and priorities. Identifies potential problems and follows up effectively.
<b>Comments:</b>					

Behaviors	Applicability	Evaluation			
5. How well does this person analyze problems and make decisions? (Identifies/evaluates relevant issues? Timely? Effective? Takes appropriate risks?)	Critical <input type="checkbox"/>	<input type="checkbox"/> Ineffective, makes only routine decisions.	<input type="checkbox"/> Usually makes contributions in the definition and solution of problems. Makes decisions based on the information at hand.	<input type="checkbox"/> Recognizes when additional information is required for non-routine decisions. Makes timely and effective decisions.	<input type="checkbox"/> In addition to obtaining and evaluating pertinent information and making sound and timely decisions, is exceptional at considering long term effects of decisions.
<b>Comments:</b>					
6. How dependable is this employee? (Attendance? Punctuality?)	Critical <input type="checkbox"/>	<input type="checkbox"/> Attendance and/or punctuality is unacceptable.	<input type="checkbox"/> Attendance and/or punctuality is generally acceptable but at times is below average causing some disruption of work activities.	<input type="checkbox"/> Good attendance and/or punctuality. Seldom absent or tardy.	<input type="checkbox"/> Exceptionally reliable, rarely absent or tardy.
<b>Comments:</b>					
7. How well does this person work with other people? (Builds effective relationships? Accomplishes work through/with others? Effectiveness in groups?)	Critical <input type="checkbox"/>	<input type="checkbox"/> Is the source of friction at times.	<input type="checkbox"/> Gets along with supervisors and peers. Strives to achieve the work groups' objectives.	<input type="checkbox"/> Respects and is respected by others. Regularly provides assistance, reinforcement and support to others.	<input type="checkbox"/> Strong positive force in work group, provides appropriate support and assistance to others even in time of high work pressure. Can be counted on to maintain positive working relationships.
<b>Comments:</b>					
8. How well does this person communicate with others? (Verbally?)	Critical <input type="checkbox"/>	<input type="checkbox"/> Generally has difficulty explaining points and clarifying these points when questioned.	<input type="checkbox"/> Generally clear, to the point and understood. Clarifies points when questioned.	<input type="checkbox"/> Very good communicator, message is very clear and concise and can be understood with ease.	<input type="checkbox"/> Very clear and convincing in communications, maintains logic and clarity in pressure situations.
<b>Comments:</b>					
9. How well does this person communicate with others? (Written?)	<input type="checkbox"/> Critical <input type="checkbox"/> Does not apply	<input type="checkbox"/> Should strive to improve overall writing skills to minimize errors and incompleteness.	<input type="checkbox"/> Good writing skills. Regularly prepared documents are logical, complete and accurate.	<input type="checkbox"/> Writing is organized, concise, complete and meets stated objectives. Prepares clear, logical communications on complex subjects.	<input type="checkbox"/> Superior writing skills, to the point, concise, with an effective and persuasive style. Can modify style to fit the purpose of communication.
<b>Comments:</b>					

Behaviors	Applicability	Evaluation			
10. How well does this person manage other employees' productivity? (Delegates tasks to get the job done? Uses staffing efficiently?)	<input type="checkbox"/> Critical <input type="checkbox"/> Does not apply	<input type="checkbox"/> Fails to establish goals and procedures. Employees are generally unclear on performance expected.	<input type="checkbox"/> Establishes specific goals, objectives and procedures, follows up on assignments, provides feedback.	<input type="checkbox"/> In addition to the previous block, emphasizes high quality and quantity of work, establishes specific goals, objectives and procedures; keeps subordinates informed and provides feedback.	<input type="checkbox"/> In addition to the previous block, makes best use of subordinates' attributes, involves employees in identifying and solving problems.
<b>Comments:</b>					
11. How well does this person manage resources? (Uses financial resources efficiently? Meets budgets?)	<input type="checkbox"/> Critical <input type="checkbox"/> Does not apply	<input type="checkbox"/> Requires review to control expenses.	<input type="checkbox"/> Stays within budget; maintains cost effectiveness.	<input type="checkbox"/> Operates within the budget, initiates cost savings.	<input type="checkbox"/> Not only stays within budget, but is a real leader in developing cost savings without jeopardizing the work.
<b>Comments:</b>					
12. How well does this person appraise and develop subordinates? (Accurately assesses performance and gives feedback? Cross-trains subordinates? Employees are promoted to other positions?)	<input type="checkbox"/> Critical <input type="checkbox"/> Does not apply	<input type="checkbox"/> Does not complete performance review on timely basis. Ineffective in providing feedback and training.	<input type="checkbox"/> Provides assessment and feedback to employee on timely basis. Identifies weak points and suggests means for employee improvement.	<input type="checkbox"/> Accurate and effective assessment of employee(s). Provides opportunities for improvement on weak points and for obtaining career goals. Develops promotable employee(s).	<input type="checkbox"/> In addition to previous block, provides appropriate appraisal and development of employees and develops possible successors. Consistent record of promotable employees.
<b>Comments:</b>					
13. How well does this person manage cross-organization relations? (With other departments? With other divisions?)	<input type="checkbox"/> Critical <input type="checkbox"/> Does not apply	<input type="checkbox"/> Is source of some friction, fails to recognize others' needs.	<input type="checkbox"/> Cooperative; responds in an accurate and timely manner.	<input type="checkbox"/> Very cooperative; accurate, thorough and timely in response; at times will put others' needs ahead of his/her own.	<input type="checkbox"/> Extremely cooperative. Provides any assistance requested; is viewed as a real team player.
<b>Comments:</b>					

Behaviors	Applicability	Evaluation			
14. How well does this person deal with the public/customer including sensitivity to cultural diversity issues.	<input type="checkbox"/> Critical <input type="checkbox"/> Does not apply	<input type="checkbox"/> Shows little respect to the public. Projects an image of being too busy to be interrupted. Does not take the initiative to answer customers' questions. Waits for someone else to do the job.	<input type="checkbox"/> Has some problems or is reluctant to talk to public. Lacks self-confidence in answering questions and, if possible, will avoid public contact.	<input type="checkbox"/> Is personable and projects self-confidence in dealing with the public. Is willing to take the time to answer questions completely.	<input type="checkbox"/> Does an excellent job; can handle any situation. If question cannot be answered, will direct customer where to find answer or will make inquiries until customer is satisfied.
<b>Comments:</b>					
15. How well does this person operate and maintain equipment?	<input type="checkbox"/> Critical <input type="checkbox"/> Does not apply	<input type="checkbox"/> Disregard for care and operation of equipment.	<input type="checkbox"/> Lacks good judgment in operation and care of equipment.	<input type="checkbox"/> Adequate maintenance and operation of equipment.	<input type="checkbox"/> Demonstrates maximum and proper maintenance and operation of equipment.
<b>Comments:</b>					
16. How well does this person adhere to safety policies?	<input type="checkbox"/> Critical <input type="checkbox"/> Does not apply	<input type="checkbox"/> Has little concern for own safety or for safety of others.	<input type="checkbox"/> Occasionally forgets standard safety procedures.	<input type="checkbox"/> Follows proper safety procedures.	<input type="checkbox"/> Takes extra precautions to ensure safety for all.
<b>Comments:</b>					

### **PART III – OVERALL EVALUATION OF PERFORMANCE**

Check the box that is most descriptive of the employee’s overall job performance. This evaluation should reflect supervisor’s appraisal of the results the employee achieved in Part I, the evaluations given to job behaviors in Part II, and the results of any previous action plans listed in Part VI.

<input type="checkbox"/> <b>1 Unsatisfactory</b> Fails to meet standards.	<input type="checkbox"/> <b>2 Satisfactory</b> Meets performance standards. Duties and responsibilities are performed with satisfactory results.	<input type="checkbox"/> <b>3 Very Good</b> Above standard in most areas. Performance constitutes initiative including high quality and quantity. Employee not only fulfills job requirements, but frequently contributes more than the assigned share. Results are commendable.	<input type="checkbox"/> <b>4 Outstanding</b> Performance is consistently characterized by work of exceptionally high quality. Employee is repeatedly making significant contributions in all areas of job duties, which are far above requirements for the position and the assigned goals and objectives. Results are clearly outstanding.
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### **PART IV – PERFORMANCE IMPROVEMENT PLANS (required for overall “unsatisfactory” rating)**

Identify Action Plans that can aid in improving employee’s job performance during the coming year.

### **PART V – PERFORMANCE SUMMARY (required for overall “outstanding” rating)**

## **PART VI – GOALS AND OBJECTIVES FOR NEXT PERFORMANCE APPRAISAL REVIEW PERIOD**

List specific goals and objectives to be accomplished and plans for career development in the next appraisal period. They should be measurable and results-oriented to permit an accurate evaluation.

## PART VII – EMPLOYEE’S COMMENTS AND SIGNATURE

The contents of this form have been reviewed by me. My comments are shown below, as applicable, regarding career goals, agreement or disagreement with this appraisal. I understand that I may choose to comment on any section of the appraisal.

Employee’s Signature: \_\_\_\_\_ Date: \_\_\_\_\_

*Signature does not necessarily indicate agreement with appraisal, but does acknowledge that appraisal was conducted and that employee has reviewed the appraisal.*

Supervisor’s Signature: \_\_\_\_\_ Next Level Supervisor’s Signature: \_\_\_\_\_

Department Head’s Signature: \_\_\_\_\_