



# ADMINISTRATIVE PERSONNEL POLICIES & PROCEDURES Policy No. 701: PERFORMANCE EVALUATIONS

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## **1. Evaluation Procedures Defined:**

### **A. Use and Purpose**

The performance evaluation system provides a standard format which is used by a supervisor to assess the conduct of, and work performed by an employee for his/her permanent personnel file. The performance evaluation serves to:

1. Initiate and maintain a flow of valuable communication between employees and supervisors.
2. Illustrate employee strengths and areas for development.
3. Provide information needed to devise methods for improving employee performance.
4. Provide information used in developing employees for higher level and more responsible positions.
5. Point out areas of performance where the employee needs special training.
6. Provide information used as a factor in promotions, layoffs, merit pay increases, transfers, reclassifications and successful completion of the probationary/introductory period.
7. Supervisors should review applicable bargaining agreements when contemplating the use of performance evaluations as a factor in those areas noted in paragraph A.6 preceding. A City of Kettering Guide To: Writing and Administering Performance Evaluations is available in the Human Resource Department, for supervisors who wish to review more detailed guidelines in the area of evaluating employee performance. The Human Resource Managers or Director of Human Resources are also available to assist supervisors with questions related to Performance Evaluations.

### **B. Performance Evaluation Forms**

The following Performance Evaluation Forms shall be used for evaluating employees, unless the Department Director determines another form is more appropriate for a particular employee. Part-Time/Temporary employees will also be evaluated. Performance Evaluation Forms are located on the Barn.

<u>Pay Grades</u>	<u>Position Category</u>	<u>Evaluation Form</u>
3 thru 13	Technical	Technical
50 thru 54	Facility Coordinators	Technical

80 thru 82	Public Safety Dispatchers	Technical
100 thru 112	Clerical	Clerical
200 thru 212	Public Service	Service
304 thru 306	Police Patrol Officer	Police Patrol Officer
401 thru 406	Firefighter	Firefighter
504 thru 505	Police Supervisory	Police Supervisory
604 thru 606	Fire Supervisory	Fire Supervisory
700 thru 721	Other Supervisory/Professional	Professional/Supervisory
722 thru 724	Department Director	Department Director
800 thru 849	Part-Time/Temporary	Temporary/Seasonal
850 thru 899	Regular Part-Time	***

\*\*\*NOTE: Department Director determines most nearly appropriate Evaluation Form, from above, to use for Regular Part-Time employees.

**C. Who Is to be Evaluated and When**

1. Probationary performance evaluation reports shall be made on all Classified Civil Service employees at least ten (10) days prior to their "Permanent Appointment" as defined by Civil Service rules. No employee will be considered to have successfully completed their probationary period until a satisfactory performance evaluation report has been filed with the Director of Human Resources.
2. Performance evaluation reports shall be completed for all regular full-time, regular part-time and temporary employees. Performance evaluation reports shall be completed in advance of all increases, or annually if step/merit increases are not being received and/or if employees are at the top of their pay range.
3. Special performance evaluation reports shall be completed when requested by the City Manager, Assistant City Manager, Director of Human Resources or Department Director. When individual Performance Evaluation Forms are completed for special reports, they will be accompanied by special instructions if necessary.

**D. Who Fills Out and Completes Performance Evaluation Forms**

1. In order to facilitate the work of supervisors, the Human Resource Department shall provide a Step Increase memo, for those employees still progressing through their steps, to the various Departments before the end of the evaluation period. Performance Evaluation Forms can be found on the Barn.
2. Performance evaluations will be completed by the immediate supervisor.
3. At the request of the Department Director, any previous supervisors during the review period in question may submit additional performance evaluation information.

4. **Performance Factor Ratings — To Be Completed:**

- a. Section I — General Required Standards — These are performance factors which are absolutely essential to demonstrating acceptable performance and are generally present or not present, but do not lend themselves to a range of ratings. Therefore, employees shall be rated as either Meeting Standards or Below Standards. Failure to Meet Standards in any of these factors must be documented with specific comments in the space provided. Depending on the severity of the problem, failing to Meet Standards in any of these factors could cause the Overall Rating to be Below Standard or Unsatisfactory.
  - b. Section II — Position Performance Factors — Factors rated in this section vary by the position and can be rated as Outstanding, Above Standard, Meets Standard, Below Standard, or Unsatisfactory. Raters should check the appropriate box and must provide supportive comments if the rating is Below Standard, Unsatisfactory or Outstanding.
  - c. Overall Rating — The Overall Rating is a reflection of all aspects of the employee's performance. The Department Director will determine if a mathematical formula will be used for reaching the Overall Rating.
5. Goals — The purpose of the Goals Section, which is optional, is to provide an employee with specific attainable objectives to work toward achieving during the evaluation period. Goals may be set by the rater or as a combined effort by both the rater and the employee.

**E. Who Will Review the Performance Evaluation**

1. In most cases, the reviewing authority shall be the Department Director, and in most cases, the Reviewer and Rater will not be the same person. All official evaluations must be reviewed before the employee is given the evaluation report, except as noted in Section E.4 and E.5 following.
2. The reviewing authority shall record any additional comments on the Evaluation Form as necessary. (See space provided on the last page of the Performance Evaluation Form.)
3. It is highly recommended that the reviewing authority and the rater discuss the results of the performance evaluation prior to the presentation of these ratings to the employee. In cases where there is disagreement between the raters, the reviewing authority shall discuss the discrepancy with the rater and reach an agreement on the appropriate evaluation ratings prior to the presentation of these ratings to the employee. If agreement cannot be reached, the reviewing authority has the right to change ratings or may make comments on the Evaluation Form and reflect a new Overall Rating. This new rating will be the official rating.
4. If the Department Director, Assistant City Manager or City Manager is the supervisor, no review is required.
5. Department Directors are rated by the City Manager in conjunction with the Assistant City Manager.

**F. The Performance Evaluation Meeting**

1. Following their completion, Performance Evaluations are then discussed with the employee.

2. The discussion of the report is the most important part of the performance evaluation. It provides an opportunity for a frank and constructive discussion of the employee's performance in relation to the requirements of his/her position.
3. It is the supervisor's responsibility to clearly explain to the employee what was taken into consideration in making the evaluation. Specific examples of performance should be discussed in detail. The employee should be commended for work well done, and helped to understand in what specific ways they need to improve.
4. If during the performance evaluation report review process a rater and the employee agree that a rating should be adjusted, such an adjustment may be made with the approval of the reviewer. In making such a recommendation, the rater should be prepared to provide the reviewer with specific reasons for the adjustment.
5. The employee should be given an opportunity to include their own comments on the final page of the Performance Evaluation Form. These comments may include: suggestions for improved performance, ways to improve the overall operations of the work unit, concurrence with the evaluation or disagreement with the evaluation.
6. After the performance evaluation report (including the Goals Section, if selected to be used) has been covered with the employee, the employee should be requested to sign the evaluation.
7. As noted on the Performance Evaluation Form, the employee's signature indicates only that the report has been reviewed and discussed; it does not necessarily signify that they agree with the evaluation.
8. The Performance Evaluation Form shall be copied in triplicate and distributed as follows:
  - a. One copy is given to the rated employee during the review conference;
  - b. One copy is retained by the supervisor for Department files; and
  - c. The signed original is to be returned to the Human Resource Department to be retained as part of the employee's permanent personnel file.

#### **G. Appeal**

1. A performance evaluation may be appealed through Policy No. 702: Administrative Grievance Procedure.
2. Performance evaluations may not be appealed to the Kettering Civil Service Commission.
3. Performance evaluations may not be appealed to the Kettering Board of Personnel Appeals.
4. Employees and supervisors should review applicable bargaining agreement grievance procedures when contemplating the filing or receipt of a performance evaluation related grievance.

## II. Application of Performance Evaluations

### A. Promotions

1. See the City of Kettering Civil Service Commission Rules and/or applicable bargaining agreements for details on promotions as they relate to Performance Evaluations.

### B. Pay Increases

1. Pay increases for employees below the established maximum pay for their range may be recommended, delayed or withheld as a result of the Overall Rating on the performance evaluation. This includes merit/step pay increases as well as general pay increases, subject to applicable bargaining agreements.
2. Employees who receive an Overall Rating of "Below Standard" or "Unsatisfactory" will not receive an increase in pay. "Below Standard" or "Unsatisfactory" evaluations may result in disciplinary action up to and including dismissal from employment.
3. Those receiving an Overall Rating of "Outstanding" may be recommended for more than one step (or higher than normal) increase in pay.
4. Accelerated advancement through the pay schedule (i.e., early step/merit increase) must be substantiated by a recent performance evaluation.

### C. Layoffs

1. See the City of Kettering Civil Service Commission Rules and/or applicable bargaining agreements for details on layoffs as they relate to Performance Evaluations.

The City Manager hereby delegates the appropriate responsibility and authority to administer this Policy to the City's Assistant City Managers and Department Directors.

Approved:

11/29/2022  
Date

Mark Schwieterman  
Mark Schwieterman  
City Manager

Issued:

11.30.22  
Date

Jenny Smith  
Jenny Smith  
Human Resource Director