

HUMAN RESOURCES DEPARTMENT			
PROCEDURE	Success Strategy Performance Review		APPROVAL Date: <u>8/29/08</u>
Division	Organization Development		Signature <i>Karen Sharp</i>
Effective Date	08- 31 -08	Revision No.	0 Karen Sharp, Acting Director, Human Resources Dept. & Civil Service

PURPOSE

The Success Strategy Performance Review (SSPR) program supports supervisors and their employees in setting achievable job expectations and planning employee professional development.

This procedure describes for supervisors and their employees the details in administering the Success Strategy Performance Review (SSPR) program.

As part of the City of Austin's on-going, year-round performance management system, SSPR:

- Links individual performance to City and department business goals;
- Provides employee development planning;
- Enhances communication and planning between supervisors and employees; and,
- Provides comprehensive evaluation of employee performance.

APPLIES TO

Check all that apply

- | | | |
|---|--|---|
| <input type="checkbox"/> All employees | <input type="checkbox"/> Temporary employees | <input type="checkbox"/> Civil Service |
| <input checked="" type="checkbox"/> Regular full-time employees | <input type="checkbox"/> Temporary Seasonal | <input checked="" type="checkbox"/> Non-Civil Service |
| <input checked="" type="checkbox"/> Regular part-time employees | <input type="checkbox"/> Temporary On Call | |

An SSPR is not required for Temporary employees, however it is a good practice to have an SSPR so that temporary employees understand the expectations of their role and when or if they become a regular employee they will already have an SSPR in place and the transition will be more effective and efficient.

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	Procedure Administration

REFERENCE DOCUMENTS		
Replacements	This procedure replaces the SSPR Appeal Procedure	
Number	Title	
A, II, D, 1	Personnel Policy	Performance Planning and Review
A, III, B, 1, a	Personnel Policy	Paid Leave
A, III, B, 1, b	Personnel Policy	Unpaid Leave
A, III, B, 1, c	Personnel Policy	Family and Medical Leave Policy
A, IV, A, B	Personnel Policy	Performance Counseling & Discipline
(in draft)	Administrative Bulletin	Pay for Performance
	Forms: Employee	Employee SSPR Plan
	Forms: Employee	Temporary Assignment SSPR Plan
	Forms: Employee	SSPR Performance Rating Record (This document replaces the SSPR Feedback Meeting Record.)
	Forms: Employee	SSPR Performance Improvement Plan (PIP)
	Forms: Employee	Employee Request for Review of Individual SSPR
	Forms: Department	Department SSPR Year –End Evaluation & Planning Summary Report
	Forms: Department	Department SSPR Mid-Year Feedback Summary Report
	Forms: Department	Department SSPR Appeals Summary Report

ROLES AND RESPONSIBILITIES					
Human Resources Department	<ul style="list-style-type: none"> • Designs overall SSPR program. • Administers corporate SSPR program implementation and support. 				
Departments	<ul style="list-style-type: none"> • Plan, develop, communicate, train, and monitor department implementation strategies for program compliance. • Determine internal department record-keeping procedures including but not limited to specific deadlines for SSPR-related activities, use of the SSPR Performance Rating Record form, and procedures for archiving SSPR-related documentation such as work samples and performance measurement data. • Manage individual supervisory performance as it relates to all aspects of SSPR. • Assign an SSPR Administrator to develop and implement procedures to track and administer program compliance. • Submit SSPR Summary Reports to the Human Resources Department according to established deadlines • Maintain appropriate personnel records. 				
Direct Supervisors	Unless otherwise indicated, the employee's direct supervisor is responsible for implementing, monitoring, and documenting SSPR activities.				
	<table border="1"> <tr> <td>Shared Supervisor (More than one supervisor)</td> <td> <ul style="list-style-type: none"> • When an employee reports to more than one supervisor, the supervisors will determine who will serve as the coordinating supervisor. The coordinating supervisor is responsible for conducting SSPR Planning, Feedback and Evaluation meetings. • Each supervisor may conduct informal feedback meetings at any time during the evaluation period to review performance, revise performance expectations and measures, provide recognition for good performance, or provide coaching to correct poor performance. • Prior to conducting the SSPR Meetings the coordinating supervisor will confer with the other supervisor(s) in order to gather feedback and documentation for the meeting with the employee. </td> </tr> <tr> <td>Failure to act</td> <td> <ul style="list-style-type: none"> • In the event that feedback meetings are not completed by the employee's direct supervisor, the next level manager is responsible for completing the performance review and documentation. </td> </tr> </table>	Shared Supervisor (More than one supervisor)	<ul style="list-style-type: none"> • When an employee reports to more than one supervisor, the supervisors will determine who will serve as the coordinating supervisor. The coordinating supervisor is responsible for conducting SSPR Planning, Feedback and Evaluation meetings. • Each supervisor may conduct informal feedback meetings at any time during the evaluation period to review performance, revise performance expectations and measures, provide recognition for good performance, or provide coaching to correct poor performance. • Prior to conducting the SSPR Meetings the coordinating supervisor will confer with the other supervisor(s) in order to gather feedback and documentation for the meeting with the employee. 	Failure to act	<ul style="list-style-type: none"> • In the event that feedback meetings are not completed by the employee's direct supervisor, the next level manager is responsible for completing the performance review and documentation.
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Failure to act	<ul style="list-style-type: none"> • In the event that feedback meetings are not completed by the employee's direct supervisor, the next level manager is responsible for completing the performance review and documentation. 				
Employee	<ul style="list-style-type: none"> • Participates in SSPR Planning Meetings, Feedback Meetings and Evaluation Meetings. • Implements expectations described in SSPR plans. 				

DEFINITIONS		
Close-Out Evaluation	An evaluation conducted when an employee has a change in position, either within the same department or to another department, or when there is a change in the employee's supervisor. (promotion or transfer included)	
Current Evaluation	An SSPR evaluation is current if it is completed within sixty days prior to required SSPR feedback or evaluation meetings (Mid-Year Feedback, a Year-End Evaluation, or a Mid-Year Close-out Evaluation).	
Disciplinary Actions	Actions authorized by the discipline procedures in the Personnel Policies that supervisors take to address disciplinary offenses such as absenteeism, insubordination, misconduct or policy violations.	
Employee Development Plan	A plan to provide the employee with work-related training, professional development, and career development opportunities during the evaluation period. Employees do not receive a rating for this page, it is for discussion, development purposes.	
Evaluation Period	The period of time for which employee performance is evaluated.	
	New Employees	The evaluation period for new employees begins on their hire date and ends the following September 30 th
	All other employees	The evaluation period for all other employees is August 1-Mid-September (when their meeting date occurs) through the fiscal year to the following Evaluation meeting. (August 1-Mid-September)
Individual Performance Rating	A rating that reflects the employee's performance of the responsibilities and Individual Performance Measures described on one Performance Planning Page of an SSPR Plan during the evaluation period; used to determine the employee's Overall Performance Rating.	
Overall Performance Rating	A rating that reflects the employee's performance for the Mid-Year Feedback meeting or Year-End Evaluation periods by comparing the relative importance of each Individual Performance Rating to the priorities established in the SSPR.	
Mid-Year Feedback	A time for supervisors to provide employees with formal feedback on work performance at the halfway point of the evaluation period. Supervisors provide employees with an Overall Mid-year Performance Rating.	
Pay For Performance	The City's compensation strategy that rewards employees for performance that is above the Unacceptable rating level. Employees eligible for Pay For Performance receive either an increase in salary or a one-time lump sum payment contingent on available funding and Council approval.	
Performance Planning Page	A page of the SSPR Plan that describes the expectations, responsibilities, and individual performance measures related to a specific service expected of the employee. The supervisor may organize multiple Performance Planning pages according to priority.	

Performance Improvement Plan (PIP)	A course of action required to improve substandard employee work performance. The supervisor may issue a PIP at any time during the year to support an employee in improving substandard work, not just at the formal SSPR meetings.
Probationary Period	A period of six months following initial employment or reemployment into a regular budgeted position, during which an employee is required to demonstrate his/her ability to perform the duties of the position.
Special Review Notes	A section of the SSPR form in which the supervisor documents interim feedback session comments and Closeout Evaluations.
Work Performance	The quality of the services and responsibilities performed by the employee compared to the expectations described in the SSPR Plan.
Year	The fiscal year, October 1 through the following September 30.
Year-End Evaluation	A time for supervisors to provide employees with formal feedback on work performance at the conclusion of the evaluation period. Supervisors provide employees with an Overall Year-end Performance Rating.

OVERVIEW	The SSPR procedure outlines the core implementation requirements of the City’s year-round work performance appraisal program. The procedure does not describe how to develop performance expectations or how to evaluate performance.									
In general	<p>The SSPR is a year-round performance appraisal process consisting of five stages:</p> <ol style="list-style-type: none"> 1. The individual SSPR plan 2. The Mid-Year Feedback meetings 3. Interim feedback meetings and performance improvement plans, as needed 4. The Year-End Evaluation & Planning meetings 5. The Pay for Performance changes 									
Timeline	<p>The evaluation period coincides with the City’s fiscal year. The major SSPR events of Planning, Feedback, and Evaluation overlap concurrent evaluation periods.</p> <table border="1" data-bbox="508 726 1472 1226"> <tr> <td data-bbox="508 726 764 835">September (communicated by HRD)</td> <td data-bbox="773 726 1472 835">Supervisors conduct SSPR Evaluation & Planning meetings with employees prior to the start of the next fiscal year evaluation period.</td> </tr> <tr> <td data-bbox="508 835 764 1016">September(com municated by HRD)</td> <td data-bbox="773 835 1472 1016">The previous Evaluation Period Ends on the date the supervisor conducts the SSPR Evaluation & Planning meeting with the employee and opens the new plan for the upcoming fiscal year.</td> </tr> <tr> <td data-bbox="508 1016 764 1163">September (communicated by HRD)</td> <td data-bbox="773 1016 1472 1163">The New Evaluation period begins when the previous plan is closed and the new plan is opened for the upcoming fiscal year. This occurs at the Evaluation and Planning meeting.</td> </tr> <tr> <td data-bbox="508 1163 764 1226">April 1 - April 30</td> <td data-bbox="773 1163 1472 1226">Supervisors conduct SSPR Mid-year Feedback meetings with employees.</td> </tr> </table>		September (communicated by HRD)	Supervisors conduct SSPR Evaluation & Planning meetings with employees prior to the start of the next fiscal year evaluation period.	September(com municated by HRD)	The previous Evaluation Period Ends on the date the supervisor conducts the SSPR Evaluation & Planning meeting with the employee and opens the new plan for the upcoming fiscal year.	September (communicated by HRD)	The New Evaluation period begins when the previous plan is closed and the new plan is opened for the upcoming fiscal year. This occurs at the Evaluation and Planning meeting.	April 1 - April 30	Supervisors conduct SSPR Mid-year Feedback meetings with employees.
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April 1 - April 30	Supervisors conduct SSPR Mid-year Feedback meetings with employees.									

Section A	Establishing Individual SSPR Plans	
Applicable Forms	SSPR Plan	<p>Departments will use SSPR forms provided by the Human Resources Department (HRD) or modified forms that have been approved by HRD. The SSPR Plan document must include, but may not be limited to:</p> <ul style="list-style-type: none"> • Identifying information, • Department goals and objectives relevant to the position, • Performance Planning Page for each major priority including, <ul style="list-style-type: none"> • List of responsibilities, • Individual performance measures and standards, • Individual Performance Rating for each priority • Employee Development Plan with work-related training identified annually, • Notice of Performance Improvement Plan, if needed, • Overall Mid-year Performance Rating, • Overall Year-end Performance Rating, • Pay for Performance eligibility acknowledgement, • Employee and supervisor comments, • Signatures
	Executive Forms (Director Form)	<p>Forms for Executive SSPR Plans are developed and distributed at the direction of the City Manager. The Executive/Director form may be used by Directors, Deputy Directors, and Assistant Directors. This procedure does not include instructions for these forms.</p>
	SSPR Resources	<p>Blank forms may be downloaded from http://inside/OrgDev/SSPR/homepage.htm Just type SSPR in the address bar to find the SSPR web site home page.</p>
Setting the Individual SSPR Plan	<ul style="list-style-type: none"> • The supervisor will establish performance expectations through an SSPR Plan prior to the start of the evaluation period. • The supervisor will establish an SSPR Plan with a new employee within the first 30 days of employment and covering the remainder of the evaluation period. • The supervisor develops a Performance Planning Page for each major service the employee will provide. • The supervisor may organize multiple Performance Planning Pages according to priority. 	

	New Employees	If a new employee has an SSPR plan developed within sixty days prior to the start of the new fiscal year, that SSPR plan may be used or updated for the new evaluation period.
		<ul style="list-style-type: none"> The SSPR plan will include an employee development plan that identifies training/professional development activities, and expected benefits for the employee.
Meeting with Individual Employees		<p>The supervisor will meet with employees:</p> <ul style="list-style-type: none"> to define and/or describe the major responsibilities and expected results for the upcoming evaluation period; to reach a mutual understanding concerning individual performance measures; to develop a plan for meeting individual training and professional development needs; and, to review all applicable City policies and procedures, department rules and regulations, and Pay for Performance eligibility requirements.
Setting Training Goals		<ul style="list-style-type: none"> Departments have a goal to provide at least 16 hours of work-related training and professional development for full-time employees. The Employee Development Plan will include the Development Activity, the Expected Benefits, and the Outcomes Achieved as a result of the training or development opportunity. The Employee Development Plan may be updated at anytime during the evaluation period. Employees may take training offered internally by the City or from external providers.
Documenting Actions		<ul style="list-style-type: none"> The supervisor and employee will sign the SSPR plan to confirm the meeting occurred. The supervisor will provide a copy of the completed SSPR plan to the employee. The supervisor will comply with department requirements for maintaining SSPR records.
	Department Summary Documentation	Departments will complete an SSPR Planning Summary form and forward to HRD by the first Friday of October.

Section B	Conducting Feedback Meetings	
Purpose	<p>The supervisor will provide SSPR feedback to all employees:</p> <ul style="list-style-type: none"> to review work performance; provide recognition for good performance; and/or, to provide coaching to correct poor performance. 	
Applicable Forms	<ul style="list-style-type: none"> Employee SSPR plan (previously completed) SSPR Improvement Plan (PIP) SSPR Performance Rating Record (optional for internal reports) Department SSPR Mid-Year Feedback Summary Report 	
	Supplies	<p>Blank forms may be downloaded at http://inside/OrgDev/SSPR/homepage.htm Just key in SSPR in the address bar to find the SSPR web site home page</p>
Mid-Year Feedback	<p>At the mid-point of the evaluation period, the supervisor will:</p> <ul style="list-style-type: none"> review work performance to determine an Individual Performance Rating for each Performance Planning Page. weigh the relative importance of each Individual Performance Rating to determine an Mid-Year Overall Performance Rating. discuss assignment of Mid-Year Overall Performance Ratings of Unacceptable, Needs Improvement, Above Average, or Exemplary <i>Performance</i> with next level manager prior to meeting with employee. Follow the process in Section E-1 of this procedure for correcting substandard performance document in the employee's SSPR the Overall Performance Rating and comments from the meeting, and secure supervisor and employee signatures to confirm that the SSPR meeting occurred. optional: complete a SSPR Performance Rating Record or internal forms used by your department and forward it to the Department SSPR Administrator. 	
	Department Summary Documentation	<p>Departments will complete an SSPR Mid-year Feedback Summary Report and forward to HRD deadlines. (usually the third Friday of May)</p>
Informal Feedback	<p>The supervisor will meet with employees to provide informal feedback at any time during the evaluation period:</p> <ul style="list-style-type: none"> to review work performance; to revise performance expectations and measures; to provide recognition for good work performance; to provide coaching to correct poor work performance, and/or to support enhanced performance Follow the process in section E-1 to correct substandard performance <p>The supervisor may use informal meetings to mitigate disciplinary issues that affect work performance using the Discipline procedures of the Personnel Policies.</p>	

Probationary Period Feedback	At three months of employment (suggested, but not required and is not a listed item on SSPR Plans)	<p>The supervisor are encouraged meet with a new employee after three months of employment:</p> <ul style="list-style-type: none"> • to provide feedback midway through the probationary period; • to answer employee questions; and, • to communicate an interim performance rating. <p>The supervisor should always document meeting discussions and plans.</p>
	At six months of employment (required)	<p>The supervisor will meet with a new employee prior to the completion of the six-month probationary period:</p> <ul style="list-style-type: none"> • to review work performance; • to communicate an interim performance rating; and, • to communicate whether employment will be continued or terminated. <p>The supervisor will document meeting discussion and plans by checking the Special Review box on the signature page of the SSPR. Both supervisor and employee will sign the Special Review section to confirm the six-month probation period meeting occurred.</p>
	The effect on the SSPR timeline	If the timing of a probationary meeting coincides with a required SSPR meeting, the activities of both meetings can be combined.

Section C	Conducting Year End Evaluation Meetings	
Applicable Forms	<ul style="list-style-type: none"> Employee SSPR plan (previously completed) SSPR Improvement Plan (PIP) SSPR Performance Rating Record (optional internal department form) Department SSPR Year-End Evaluation & Planning Summary Report 	
	Supplies	Blank forms may be downloaded from http://inside/OrgDev/SSPR/homepage.htm Just type SSPR in the address bar to find the SSPR web site home page.
Purpose	To document employee performance against established performance expectations at the end of the evaluation period.	
Preparing for the Year-End Evaluation Meeting	The supervisor will complete an SSPR Evaluation of each employee for whom SSPRs are required. Prior to conducting individual evaluation meetings, the supervisor will: <ul style="list-style-type: none"> review work performance to determine an Individual Performance Rating for each Performance Planning page. weigh the relative importance of each Individual Performance Rating to determine an year-end Overall Performance Rating. Discuss assignment of Year-end Overall Performance Ratings of Unacceptable, Needs Improvement, Above Average or Exemplary <i>Performance</i> with the next level manager. (In some depts., especially smaller ones, this review could go up to director.)	
Meeting with Individual Employees	The supervisor will meet with individual employees <ul style="list-style-type: none"> to review work performance; to provide recognition for good performance; to discuss professional development plans; and, to communicate the year-end Overall Performance rating. 	
Documenting Actions	<ul style="list-style-type: none"> The supervisor will document the year-end Overall Performance Rating for the full evaluation period, comments from the meeting and Pay For Performance eligibility in the employee's SSPR. The supervisor and employee will sign the SSPR Plan to confirm that the evaluation meeting occurred. The supervisor will provide a copy of the completed SSPR evaluation to the employee. The supervisor will comply with department requirements for maintaining SSPR records. 	
	Department Summary Reports	Departments will complete an SSPR Year-end Summary Report and forward to HRD by the deadline communicated by HRD.

Section D	Circumstances Requiring Special Feedback Meetings	
<p>Regular Employee Job Changes</p>	<ul style="list-style-type: none"> • If an employee is promoted, reassigned, transfers, or leaves the City, the supervisor will ensure that the employee has a current evaluation, and, as appropriate, will conduct a Close Out Evaluation prior to the employee leaving the position. • The Close-Out Evaluation is conducted according to Year-End Evaluation procedures. • The supervisor will send a copy of the employee’s current SSPR and associated performance documentation to the employee’s new supervisor. 	
	<p>Role of the New Supervisor</p>	<ul style="list-style-type: none"> • The new supervisor will conduct an SSPR Planning Meeting to develop a new SSPR within 30 days of the job change. • The new supervisor will determine the Overall Year-end Performance Rating by combining the Close Out Performance Rating with current performance information at the conclusion of the evaluation period.
<p>Conversion from Temporary to Regular Employment</p>	<p>If a temporary employee converts to regular part-time or regular full-time employment, the supervisor must have an Employee SSPR Plan in place within thirty days of regular employment.</p>	
<p>Change In Supervisor</p>	<p>A supervisor who is promoted, reassigned, transfers or leaves the City will ensure that each employee directly reporting to him/her has a current SSPR evaluation, and, as appropriate, conduct a Close Out Evaluation with each employee prior to leaving the position. In the event that an evaluation meeting is not completed at the time of a supervisory change, the next level manager will conduct the Close Out Evaluation with each employee.</p>	
	<p>Role of the New Supervisor</p>	<ul style="list-style-type: none"> • The new supervisor will review all employee SSPRs within 30 days of assignment and determine whether the existing SSPR plans will be continued or revised. • The new supervisor will combine the Overall Performance Ratings from the Close Out Evaluations with those of the continued or revised SSPR Plan, in order to determine the year-end Overall Performance Rating.

<p>Temporary Assignment</p>	<p>When a temporary assignment is anticipated to exceed 30 days, the supervisor will conduct an SSPR Planning Meeting with an employee on Temporary Assignment, such as Light Duty or Administrative Reassignment, within five working days of the assignment change.</p> <p>The supervisor will:</p> <ul style="list-style-type: none"> • use the Temporary Assignment SSPR Plan to define and/or describe the major responsibilities and expected results during the temporary assignment. • conduct a Temporary Assignment SSPR Evaluation meeting with the employee at the conclusion of the temporary assignment and communicate a Close-Out Rating. • determine the employee's year-end Overall Performance Rating by combining the Temporary Assignment Performance Rating with current performance information at the conclusion of the evaluation period.
<p>Temporary Seasonal and Temporary On-Call Employees</p>	<p>The Temporary Assignment SSPR Plan may be used for Temporary Seasonal and On-Call Employees to document performance expectations during the temporary employment period.</p>

Section E	Performance Rating Criteria 5 point rating scale criteria
Purpose	Supervisors will use the Performance Rating Criteria as a reference when determining Individual and Overall Performance Ratings. The criteria should be used in conjunction with any samples or documentation of employee performance.
Unacceptable Performance	<p>a. Performance fails to meet documented expectations for the major responsibilities</p> <p>b. Performance is below what is expected of an employee normally working in this area.</p> <p>c. Employee requires a high level of supervision or assistance to accomplish work results.</p> <p>d. Immediate improvement is necessary to meet the standard or satisfactory levels of performance.</p> <p>In order to receive an Overall Rating of Unacceptable, the employee must have at least one <i>Individual</i> performance rating of Unacceptable in major responsibilities. The supervisor will weigh the relative importance of the individual Unacceptable rating(s) against the other services and responsibilities being evaluated and determine the impact on the Overall Performance Rating. The supervisor must have documentation to support their rating.</p> <p><i>The supervisor may issue a Performance Improvement Plan (PIP) for any Unacceptable Performance at any time during the year to support an employee in improving substandard work, not just at the formal SSPR meetings. *In order to issue a Performance Improvement Plan the supervisor should follow the procedure in Section E-1 and reference the Personnel Policies page 43. The Performance Improvement Plan can be found on the SSPR web site under "forms."</i></p>

<p>Performance Needs Improvement</p>	<ul style="list-style-type: none"> a. Performance is below standard expectations in one or more of the major job responsibilities. b. Employee requires more than a normal level of supervision or assistance to accomplish work results. c. Improvement is necessary to meet satisfactory levels of performance. <p>In order to receive an <u>Overall Performance Rating</u> of Needs Improvement, the employee must receive at least one <i>Individual Performance Ratings</i> of either Unacceptable or Needs Improvement in major responsibilities. The supervisor will weigh the relative importance of the individual Unacceptable or Needs Improvement rating(s) against the other responsibilities being evaluated and determine the impact on the Overall Performance Rating. The supervisor must have documentation to support their rating.</p> <p><i>The supervisor may issue a Performance Improvement Plan (PIP) for performance that is Unacceptable or Needs Improvement at any time during the year to support an employee in improving substandard work, not just at the formal SSPR meetings. *In order to issue a Performance Improvement Plan the supervisor should follow the procedure in Section E-1 and reference the Personnel Policies page 43. The Performance Improvement Plan can be found on the SSPR web site under "forms."</i></p>
<p>Satisfactory Performance</p>	<ul style="list-style-type: none"> a. Performance fully meets standards and achieves all expectations and requirements in the major job responsibilities. b. Performance contributes what is expected of a qualified employee performing in this position. c. Performance requires a normal level of supervision and follow-up. d. Employee acquires or maintains knowledge, skills or abilities to perform satisfactorily. <p>In order to receive an <u>Overall Performance Rating</u> of Satisfactory, the <i>Individual</i> performance ratings in nearly all major job responsibilities must be at a Satisfactory level or higher. There must be no more than one individual performance rating of Needs Improvement and no rating of Unacceptable performance. The supervisor must have documentation to support their rating.</p>

<p>Above Average Performance</p>	<ul style="list-style-type: none"> a. Performance consistently and regularly exceeds performance expectations and requirements for major job responsibilities. Performance is superior and commendable. b. Performance contributes more than what is expected of a qualified employee performing in this position. c. Employee requires minimal supervision to consistently produce above-average results. d. Employee learns both on-the-job and through their own initiative, acquires additional knowledge or skills, and applies additional knowledge or skills to their regular job performance. <p>In order to receive an <u>Overall Performance Rating</u> of Above Average, the <i>Individual</i> performance ratings in most major job responsibilities are at an Above Average level. There can be no individual performance ratings below Satisfactory. The supervisor must have documentation to support their rating.</p>
<p>Exemplary Performance</p>	<ul style="list-style-type: none"> a. Performance is noticeably exemplary; employee always or almost always demonstrates outstanding performance for major job responsibilities. Employee is a role model and far exceeds expectations. b. Employee requires minimal supervision in order to almost always produce exceptional results in their job responsibilities. c. Employee almost always learns both on-the-job and independently to acquire additional knowledge and or skills, and regularly applies new knowledge/skills to their regular job performance. Employee inspires, assists, trains, or helps develop other employees in work-related skills initiatives. d. Performance almost always demonstrates initiative to plan and anticipate problems. Employee almost always takes appropriate action. <p>In order to receive an <u>Overall Performance Rating</u> of Exemplary, the <i>Individual</i> performance ratings in most major job responsibilities must be at an Exemplary level and no ratings below the Above Average level. The supervisor must have documentation to support their rating.</p>

Section E-1	Procedure for Addressing Substandard Performance
<p>Purpose</p>	<p>IV. PERFORMANCE COUNSELING /DISCIPLINE /COMPLAINTS (Personnel Policies, Section IV, page 43) It is the intent of this section to establish clear, positive guidelines for corrective and preventive job performance counseling and for discipline, complaint and appeal processing. It is also the intent of this section to safeguard the rights of employees, to assure that all employees are judged by fair and equitable standards and to require that all rules are applied on an equitable basis. This section should not be interpreted to eliminate the discretionary factors all employees, whether supervisory, non-supervisory or management, must rely on for discharging their designated duties and responsibilities.</p>
<p>Performance Counseling, Written Documentation Procedures (Personnel Policies, Section IV, page 43)</p>	<ul style="list-style-type: none"> • Any employee who exhibits substandard work performance should be counseled in the following manner: <ol style="list-style-type: none"> 1. Initial Counseling- For the first indication of substandard work performance the supervisor should advise the employee of his/her unsatisfactory performance and recommend specific areas for improvement. A written record may be retained within the employee’s department. 2. Written Documentation – For a second indication of substandard performance, the supervisor will state in writing: <ol style="list-style-type: none"> a. The specific deficiencies observed in the employee’s performance, b. The necessary improvement, c. The period of time in which improvement must occur, and d. What further action will result if the employee fails to show satisfactory improvement. • The written counseling memo should be signed by both the employee and the supervisor and shall be maintained within the department. If the employee refuses to sign, the supervisor should have a witness sign that a copy was given to the employee. The employee’s signature indicates receipt of the document only, not necessarily acceptance of its contents. <p>If an employee continues to exhibit substandard work performance beyond the established time limits and below the expected level, the options available to the employee and supervisor will include: (1) reassignment, (2) demotion, or (3) termination.</p>

<p>SSPR Procedure : Issuing a PIP</p>	<p>When performance falls below standard expectations in one or more major job responsibilities, or performance fails to meet documented performance expectations for major responsibilities,</p> <p>The supervisor will:</p> <ul style="list-style-type: none"> • Document substandard performance • Meet with employee to communicate specific areas in which performance is below Satisfactory expectations • Recommend specific areas for improvement • Determine if a Performance Improvement Plan is warranted. 	
<p>Applicable Forms</p>	<ul style="list-style-type: none"> • SSPR Improvement Plan (PIP) 	
	<p>Supplies</p>	<p>Blank forms may be downloaded from http://inside/OrgDev/SSPR/homepage.htm Just type SSPR in the address bar to find the SSPR web site home page.</p>

Section F	The Effect of Employee Leaves of Absence on SSPR Performance Ratings
Paid Leave	<ul style="list-style-type: none"> • Employees who use (non-FMLA) approved paid leave will not be penalized in their performance ratings for the time absent from work. • Supervisors will complete required SSPR meetings with employees on approved paid leave within 5 (five) working days of the employee's return to work.
Unpaid Leave	<ul style="list-style-type: none"> • Supervisors may consider the impact of unpaid leave, that is not FMLA, on overall performance levels compared to expected levels of performance. • Supervisors will complete required SSPR meetings with employees on unpaid paid leave within 5 (five) working days of the employee's return to work.
Family and Medical Leave Act (FMLA)	<ul style="list-style-type: none"> • Employees who use FMLA-related leave will not be penalized in their performance ratings for the time absent from work. • Supervisors will complete required SSPR meetings with employees on FMLA-related leave within 5 (five) working days of the employee's return to work.
Military Leave	<ul style="list-style-type: none"> • Employees called to active or reserve duty and who use Military Leave will not be penalized in their performance ratings for the time absent from work. • Supervisors will complete required SSPR meetings with employees returning from Military Leave within 5 (five) working days of the employee's return to work.

Section G	Resolving Disagreements about SSPR Plans or Evaluations	
In General	<ul style="list-style-type: none"> • An employee who does not agree with the documented SSPR plan, Mid-Year Feedback or the Year-End Evaluation may request a review by the next level of supervision up to and including the Department Director. • Only one review at each level of supervision is permitted. • Mediation services to facilitate the discussion process are available through the Human Resources Department if both parties agree to mediation. 	
Applicable Forms	SSPR Request for Review of Individual SSPR	
	Supplies	Blank forms may be downloaded from http://inside/OrgDev/SSPR/homepage.htm Just type in SSPR in the address bar to find the SSPR web site home page.
Reasons for Review Requests	SSPR Plan	Disagreement with <ul style="list-style-type: none"> • The priority rank order of the major job responsibilities; • The major job responsibilities (incorrect or missing key elements); and/or, • Incorrect or inappropriate performance standards.
	Feedback and Evaluation Meetings	<ul style="list-style-type: none"> • Disagreement with any of the Performance evaluation ratings. • Significant job duty changes during the review period that are not documented and/or for which performance measures are inappropriate or inaccurate.

Procedure: First Level Review	Employee	<ul style="list-style-type: none"> • completes SSPR Request for Review within 5 (five) business days of the SSPR Planning, Feedback or Evaluation meeting with the supervisor • identifies area of disagreement • provides appropriate supporting documentation • indicates a recommended solution to the disagreement
	First Level Supervisor	<ul style="list-style-type: none"> • within 5 (five) business days of receipt, reviews the employee request for review and, • requests additional information, as needed • provides a written response to the employee • meets with the employee to discuss the response • ensures that both the supervisor and employee signatures are on form in confirmation that meeting was held. • retains the original form for department records and returns a copy to employee.
	Resolution	<ul style="list-style-type: none"> • Supervisor modifies the SSPR plan, Mid-Year Feedback or Evaluation meeting as agreed. • Employee and supervisor initial modifications.
	Failure to resolve	The employee has the option to forward documentation to the second level supervisor for review within five business days.
Procedure: Second Level Review	Within 5 (five) business days of receipt, the second level supervisor reviews the documentation and meets with the employee to resolve the disagreement.	
	Resolution	<ul style="list-style-type: none"> • The second level supervisor discusses SSPR plan, Mid-Year Feedback or Evaluation meeting evaluations modifications, if any, with first level supervisor • The first level supervisor modifies documents, as agreed. • The employee and supervisors initial modifications. • The first level supervisor retains original form for departmental records and returns a copy to employee.
	Failure to resolve	The employee has the option to forward documentation to the department director for a final review within 5 (five) working days.

Department Director Review	Within 5 (five) business days of receipt, the director selects one of two approaches to resolve the disagreement: <ul style="list-style-type: none"> • review by committee; or, • personal review by director. 	
	Review by committee	Director appoints a three-person committee consisting of <ul style="list-style-type: none"> • an SSPR expert from inside or outside the department; • a manager from the department outside the employee's chain of command; and, • an employee from within the department. The committee <ul style="list-style-type: none"> • reviews all documentation; • meets with the employee; and, • recommends to the Department Director appropriate action based on the committee's review.
	Director Review	The Director: <ul style="list-style-type: none"> • reviews the recommendation of the Review Committee, if any; • reviews all documentation; • meets with the employee; • advises first and second level supervisors the outcome of the review; and, • ensures documentation of decisions with appropriate modification of SSPR plan, Mid-Year Feedback, and the close out or Year-End Evaluation documents.
	Final decision	The decision of the department director is final.

Section H	Department SSPR Reporting Procedures	
Responsibility	Each department will report SSPR summary information to the Human Resources Department by established deadlines.	
Applicable Forms	Each form can be downloaded from http://inside/OrgDev/SSPR/homepage.htm Just type in SSPR in the address bar to find the SSPR web site home page.	
	Department SSPR Evaluation & Planning Summary Report	A department report detailing the number of employees with SSPR Evaluations & Plans in place by established deadlines and the total number of Unacceptable, Needs Improvement, Satisfactory, Above Average, or Exemplary Overall Performance Ratings.
	Department SSPR Mid-Year Feedback Summary Report	A department report detailing the number of SSPR Feedback meetings completed by established deadlines and the total number of Unacceptable, Needs Improvement, Satisfactory, Above Average, or Exemplary Overall Performance Ratings.
	Department SSPR Appeals Summary	A department report detailing the number of SSPR-related appeals requested and resolved during the previous evaluation period.
Processing	<ul style="list-style-type: none"> Supervisors forward SSPR information for all employees to the Departmental SSPR Administrator according to department procedures. SSPR Administrator completes SSPR summary form and forwards to Department Director for signature. Signed summary reports are forwarded to the Human Resources Department by established deadline. 	
Timeline	Department SSPR Evaluation & Planning Summary Report	sent to the Human Resources Department by the deadline set by HRD.
	Department SSPR Feedback Meeting Summary Report	sent to the Human Resources Department by the deadline set by HRD. (Usually the third Friday of May)
	Department SSPR Appeals Summary	Sent to the HR Advisor within your department and kept on file internally in your department. Due by the end of October.
Archiving	<ul style="list-style-type: none"> Human Resources Department will maintain a file of original summary reports for each evaluation period. The department SSPR Administrator will maintain a copy of each SSPR Summary report on file. 	

Section I	Resulting Pay for Performance Effects
Eligibility for Pay Increases	<ul style="list-style-type: none"> • Employees must have at least six months of regular full time or part time service during the evaluation period. • Employees with Overall Year-end Evaluation Rating of Needs Improvement, Satisfactory, Above Average, or Exemplary are eligible for pay increases.
Temporary converting to regular – eligibility for Pay Increase	<ul style="list-style-type: none"> • Employee in regular City position with hire date by April 1; calculation of eligibility <u>can include temporary status, as long as there is no break in service</u> • Employee must have at least 6 months of service
Type of Pay Increase	Employees eligible for Pay for Performance receive an increase in their salary (in their base pay) or a one-time lump sum payment contingent on available funding and Council approval.

Section J	City of Austin Personnel Procedure – Compensation Pay for Performance
Subject	Pay for Performance
Policy Reference	(Use reference to compensation plan)
Applies to	Regular, non-Civil Service employees
Purpose	To establish consistent and flexible procedures for determining the rate of pay for performance for qualified employees.
Overview	Pay for Performance is the compensation strategy used by the City of Austin to reward employees for receiving ratings of Exemplary, Above Average, Satisfactory, and Needs Improvement.
Procedure	<p>Department process requirements</p> <ul style="list-style-type: none"> • Departments must complete requirements for pay for performance eligibility as outlined in the SSPR procedure. • Departments verify employee eligibility for Pay for Performance • Departments submit annual pay for performance pay increase information to HRD by established deadlines. <p><u>Employee Eligibility for PFP:</u></p> <ul style="list-style-type: none"> • Employee in regular City position with hire date by April 1; calculation of eligibility can include temporary status, as long as there is no break in service; • Must have an SSPR evaluation rating of ‘Exemplary,’ Above Average, ‘Satisfactory,’ or ‘Needs Improvement’ with appropriate department management approval; • Must still be employed by the City of Austin at the time of scheduled pay-out.
Checklist for Setting Pay for Performance Rate	<p><i>Have you reviewed the following?</i></p> <p>___ Confirm employee hire date is before April 1 (6 months of service); time can include temporary and regular time, as long as no break in service.</p> <p>___ Confirm employee has an SSPR evaluation and rating of ‘Exemplary,’ Above Average, ‘Satisfactory,’ or ‘Needs Improvement,’ with appropriate department management</p>

PROCEDURE ADMINISTRATION	
Review Cycle	The Human Resources Department will review the SSPR Procedure annually prior to the start of the fiscal year. Changes to the Procedure will be communicated in SSPR classes and through communications to the organization.
Performance Measures	<p>Departments will comply with SSPR-related deadlines for:</p> <ul style="list-style-type: none"> • SSPR Year-End Evaluation & Planning Meetings, • SSPR Mid-Year Feedback Meetings
Authority to Change	The Human Resources Department management team may initiate changes to this procedure.