



Office of the City Auditor Policies and Procedures

Number: 6.1.5

Title: Annual Appraisals

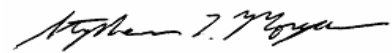
Original Date:

01/04/1994

Revision Date:

06/01/1996

08/02/2002

Approved by:


I. Policy

Each auditor and audit investigator, at levels I and II, shall receive a performance appraisal every year, preferably on the hiring date anniversary, by a peer assessment committee. Auditors and audit investigators at level III, shall receive their performance appraisals from the City Auditor or the Deputy City Auditor, depending on to whom they reported during the majority of the appraisal period.

II. Purpose

The purpose of this policy is to provide a formal and structured assessment of employee performance that will become the basis for pay progression decisions.

III. Definitions

- A. **Hiring date** - The date that a person became an employee, with auditing or investigative responsibilities, of the Office of the City Auditor.
- B. **Peer Assessment Committee (PAC)** - A three-person committee charged with developing and presenting the annual performance appraisal to an auditor/audit investigator. The committee is comprised of an Assistant City Auditor and two other employees of OCA. The Assistant City Auditor selected is the one that has primary supervisory duties over that auditor/audit investigator during the evaluation year. The City Auditor selects one member of the committee and the auditor/investigator being evaluated selects the other.

- C. **PAC Chairperson** - The person, selected by the City Auditor or Deputy City Auditor, who facilitates the PAC meetings, usually the Assistant City Auditor on the committee. The chairperson is also responsible for working with the auditor/audit investigator to create the development plan.

IV. Procedures/Responsibilities

- A. Every month, the Human Resources Assistant shall notify the City Auditor of annual appraisals that are due the following month. Each supervising Assistant City Auditor shall also be notified.
- B. For each appraisal that is due, the City Auditor selects a PAC chairperson and another OCA employee to be on the committee. The auditor/audit investigator being evaluated selects the third member of the PAC.
- C. The PAC Chair reviews the time accounting log and the personnel file for the auditor/audit investigator to make sure that the personnel file contains the required evaluations for the auditor/audit investigator's projects. (See Policies 6.1.3 and 6.1.4.)
- D. Once the personnel file is determined to be complete, the PAC Chair schedules a meeting with the auditor/audit investigator being evaluated and the other two PAC designees. During this meeting, the auditor/audit investigator and the PAC will discuss the annual appraisal process, the time frame for the appraisal, and the projects that will be the basis for the appraisal. They will also discuss how the appraisal document will be drafted, and the need for the auditor/audit investigator to develop a self-assessment.
- E. At a separate meeting, the PAC will draft the appraisal; making decisions on ratings, providing examples of performance that justify that rating, and indicating improvement opportunities. The drafting process may require more than one meeting.
- F. Once the PAC has drafted the appraisal, the PAC Chair schedules a meeting with the auditor/audit investigator and the PAC to discuss the results of the appraisal. During this meeting, each category of performance is discussed, comparing the PAC's draft to the auditor's/audit investigator's self-assessment. If a self-assessment rating on a category is different than the PAC rating on that same category, then discussion occurs to attempt to achieve consensus on the rating. The final decision on the ratings, however, resides with the PAC.

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- G. After discussion of the PAC, the PAC chairperson will revise the annual appraisal to reflect any additions or changes made as a result of the self-assessment or other discussion. The PAC and the auditor/audit investigator being evaluated sign this final draft.
 - H. Once the appraisal has been signed and the performance and development plan drafted (see policy 6.1.2 Performance and Development Plans), the PAC Chair forwards to the City Auditor the paperwork and cover memo from the PAC with recommendations for movement (if any) on the pay band.
 - I. Upon receiving the paperwork, the City Auditor schedules a meeting with the auditor/audit investigator. This meeting is designed to review the appraisal package, clarify the office's commitment to the individual's development, and determine whether a pay raise will be given. If a decision is made to move the auditor/audit investigator on the pay band, the City Auditor will determine the effective date of that movement.
 - J. The City Auditor gives the appraisal package (annual appraisal, development plan, and pay movement instructions, if warranted) to the Human Resources Assistant for document filing and pay increase processing.
 - K. If a situation warrants, (for example the anniversary date occurs prior to the completion of a project), the City Auditor can authorize a PAC to reconvene in 90 to 120 days to review the auditor's/audit investigator's progress on specific categories. Any movement made as a result of the update will not be retroactive.

Conceptualization

Meets _____ Exceeds _____ Does not Meet _____

Comments:

Improvement Opportunities:

Outputs

Meets _____ Exceeds _____ Does not Meet _____

Comments:

Improvement Opportunities:

Outcomes

Meets _____ Exceeds _____ Does not Meet _____

Comments:

Improvement Opportunities:

**Office Capacity Building/
Management System
Improvement**

Meets _____ Exceeds _____ Does not Meet _____

Comments:

Improvement Opportunities:

I have presented and discussed this appraisal.

PAC Chair _____ Date _____

PAC _____ Date _____

PAC _____ Date _____

I have read and received this appraisal.

Auditor/Audit Investigator _____ Date _____