



Office of the City Auditor Policies and Procedures

Number: 6.1.5

Title: Annual Appraisals

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I. Policy

- A. Each auditor/audit investigator (A/AI), at levels I, II, and III, shall receive a performance appraisal from a peer assessment committee every year by the anniversary of their annual evaluation deadline.
- B. Each A/AI at level IV (Assistant City Auditors (ACAs)) shall receive a performance appraisal from the City Auditor or designee (CA) in accordance with the City's established SSPR appraisal dates.
- C. Deviations from this policy must be approved in writing by the CA.

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 recommendations.

III. Definitions

- A. **Annual Evaluation Deadline (AED)** – The anniversary date that an A/AI was hired. The only event that can subsequently replace the hiring date as the AED is a re-class upwards of more than one zone.
- B. **Peer Assessment Committee (PAC)** – A three-person committee comprised of at least one Assistant City Auditor and two other

employees of OCA, formed for the purpose of developing and presenting an annual performance appraisal to an A/AI.

- C. **PAC Chairperson** – An Assistant City Auditor on a PAC who is designated to facilitate the evaluation process and the ensuing development plan.

IV. Procedures

- A. Every month, the Administrative Assistant responsible for human resources functions (HRA) shall present the CA with a status report which, at a minimum, should list each A/AI and their AED, along with the most recent date of a:
1. Development plan signed by an ACA.
 2. Meeting with the CA to review an annual evaluation and development plan.
 3. Movement by HRD on the City of Austin pay structure.
- B. The PAC process will proceed as noted below. The dates listed are minimum requirements and each phase may be conducted earlier than noted here.
- C. At least four weeks before the AED of each A/AI, the CA will:
1. Designate an ACA to serve as the PAC Chairperson. Unless circumstances preclude, the PAC Chairperson would normally be the ACA that had primary supervisory duties over that A/AI during the evaluation year.
 2. Email the PAC Chairperson and A/AI being evaluated:
 - a. To notify them of the designation and forthcoming PAC process.
 - b. To request that each, within one week, propose by email to the CA another person to serve on the PAC:
 - i. The PAC Chairperson shall propose an ACA, auditor, or audit investigator that worked with the person being evaluated during the evaluation period and is best poised to give feedback and join the Chairperson on the PAC.
 - ii. The A/AI being evaluated shall propose a person that did significant work with them during the relevant evaluation period.
- D. At least three weeks before the AED of each A/AI:
1. The A/AI being evaluated will send an email to the CA (and copy the PAC Chairperson) proposing another person to serve on the PAC.

2. The PAC Chairperson will:
 - a. Send an email to the CA (and copy the A/AI being evaluated) proposing another person to serve on the PAC.
 - b. Complete a review of the time accounting log and the personnel file for the A/AI to make sure that the required project evaluations have been completed (see Policy 6.1.3 Project Appraisals). If not located in the personnel file, the PAC Chairperson will:
 - i. Notify the CA by email of the missing evaluation(s).
 - ii. Copy the employee responsible for delivering the project evaluation(s) in question, who will have one week to produce the required feedback.
 - iii. Copy the HRA for placement of the email in the responsible employee's personnel file.
 - iv. If the employee responsible is no longer employed by OCA or out of the office on extended leave, the PAC Chairperson will request by email for the CA to designate an alternate appropriate employee to give feedback by a negotiated date.
 - c. Identify any projects still underway that the A/AI worked on for more than 80 hours but less than six calendar months (as feedback thus might not be on record yet) in order to notify by email the appropriate ACA or AIC of the need for feedback within two weeks.
 - d. Send an email to the A/AI being evaluated:
 - i. Notifying them of the list of required project evaluations that will be used in the PAC.
 - ii. Requesting that the A/AI, within one week, provide the PAC Chairperson, in writing, a list of projects the A/AI would like considered that are not on the required list above.
- E. At least two weeks before the AED, the CA will confirm by email to the PAC Chairperson and A/AI whether the ACA-recommended second person and the A/AI-requested third person are acceptable. The CA reserves the right to assign the PAC as appropriate.
- F. If any feedback requested above is not subsequently completed on a timely basis, the PAC Chairperson will notify the CA by email to request intervention and will copy the HRA to furnish documentation to the personnel file of the non-responsive employee(s).
- G. Once all required feedback has been received, the PAC Chairperson will schedule a meeting with the A/AI being evaluated and the other two PAC designees. During this meeting, the PAC Chairperson will:

1. Facilitate a discussion between the A/AI and the PAC covering the:
 - a. Annual appraisal process.
 - b. Time frame for the appraisal.
 - c. Projects that will be the basis for the appraisal.
 2. Provide copies of feedback on file, including feedback related to the outcomes category from the prior evaluation period.
 3. Request the A/AI to email the PAC with identified outcomes from the prior performance period that were not reflected in the prior period that they wish to be considered for inclusion in the current year evaluation.
 4. Discuss how the appraisal document will be drafted.
 5. Discuss the requirement for the A/AI to develop a self-assessment that includes ratings for each category along with justifications and improvement opportunities.
- H. The PAC will meet separately, without the A/AI being evaluated, to 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.
- I. After the PAC has drafted the appraisal, the PAC Chairperson will schedule a meeting with the A/AI 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 A/AI'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.
- J. After discussion with the PAC, the PAC Chairperson will revise the annual appraisal to reflect any additions or changes the PAC agreed to make as a result of the self-assessment or other discussion. The PAC and the A/AI being evaluated sign this final draft to indicate that the feedback was given, regardless of whether the A/AI agrees with the ratings.
 1. Signing of the PAC results can be done as early as two weeks prior to the AED, and should be done within 2 weeks subsequent to the AED. The PAC Chairperson will meet with the CA if unable to meet this deadline, and feedback to the PAC Chairperson's personnel file may be documented if appropriate.
- K. After the appraisal has been signed and the performance and development plan drafted (see Policy 6.1.2 Performance and Development Plans), the PAC Chairperson will forward to the CA the

paperwork and cover memo from the PAC with recommendations for movement (if any) on the pay band (see policy 6.1.6 Pay Progression Decisions). As soon as the documents have been forwarded to the CA, the PAC Chairperson will notify the administrative assistant responsible for the CA's calendar.

- L. Upon receiving notification that the paperwork is in the hands of the CA, the administrative staff designated in the paragraph above will schedule a meeting between the CA and the A/AI to occur no more than 3 weeks after the AED. 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.
- M. If the CA decides to move the A/AI on the pay band, the CA gives the appraisal package (annual appraisal, development plan, and pay movement instructions, if warranted) to the HRA for document filing. Any pay band movement request to the Human Resources Department should be made within 4 weeks of the AED.
- N. In situations where additional project feedback is received within 30 days of the AED and the A/AI thinks the feedback would have made a substantive difference on the evaluation, the A/AI can request by email to the CA an authorization for a PAC to reconvene within 60 days of the AED to review the A/AI's progress on specific categories.
- O. If the CA instructs the PAC to reconvene, the PAC will do so and must prepare a memo for the CA within 30 days updating the existing PAC feedback based on the additional information received. Any pay band movement made by the CA as a result of the update will not be retroactive.

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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 _____

OCA Annual Appraisal Timeline

OCA Policy 6.1.5

