

**CITY OF PLANO POLICIES AND PROCEDURES**

207.000

**Department Name:** Human Resources Manual  
**Procedure:** Performance Management Process  
(Performance Evaluation)

**Effective Date:** 09/20/99

**Revision Date(s):** 08/15/01, 04/01/06, 07/01/06, 10/01/10, 4/1/11

**I. Purpose**

To ensure that all City employees are evaluated in a fair and equitable manner and opportunities for development and communication are provided.

**II. Policies and Procedures**

Performance Management is the ongoing process of setting performance expectations, coaching employees to reach those expectations, providing feedback to employees and then reviewing and recognizing those performance results. Performance management shall be conducted throughout the year.

**A. Purpose of the Performance Management Process**

The City's Performance Management Process is a performance management and development process designed to support the overall goals and objectives of the City. The process is designed to provide individual performance feedback in a positive manner. The process is a tool for supervisors and employees to plan professional and career development at the City. The Performance Management Process form is the tool used to administer the process, as well as document results of the process.

The process has three major components or performance objectives:

1. An individual development plan to ensure individual development pertaining to the competencies and the performance objectives. The developmental plan may focus on the individual's current job or on a desired future job. The development plan is optional;
2. Individual and/or department performance objectives or goals and evaluation of individual and/or department performance on the results of those objectives or goals;
3. Competencies, defined behaviors on how the goals and objectives are to be met and evaluation of individual behaviors within the defined competencies.

**B. The Performance Management Process**

The Performance Management Process involves ongoing communication throughout the year. The process focuses on two areas of performance:

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- Individual and/or department performance objectives; and
- Citywide and job specific competencies.

The process includes a development aspect that allows for discussion and documentation of individual development needs and activities. Such activities include specific job-related developmental activities, individual competency development and training activities.

An employee and the immediate supervisor, called evaluator, will jointly participate in the process, which includes the following meetings between an individual and the evaluator:

- Individual planning meeting
- Informal mid-year feedback session
- Formal year-end summary meeting. The individual planning meeting for the following year may be combined with this meeting.

Feedback discussions, however, should occur throughout the year. Critical events should be documented and discussed with an employee as they occur. The competencies provide an excellent foundation for discussions of desired behaviors while the performance objectives provide a foundation for discussions of desired outcomes. The development plan is used to document developmental goals of the employee.

The process has four sections. It is usually completed in three working sessions over the yearlong performance period.

1. Planning for Performance

The employee will work with his/her supervisor to develop his/her own objectives and goals for the next year. The goals and objectives will be recorded on the Performance Management Process form in Section II: Performance Objectives. This process should be completed by the end of August each year.

During the performance planning process, the employee may complete the developmental plan in Section I. The evaluator may provide input to the development plan. To document the discussion, the employee and

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the evaluator will sign and date the signature line for the performance planning session.

The next level manager (the evaluator's supervisor) will sign the form after the employee and the evaluator have done so. The purpose of the signature is to ensure that the next level manager has an opportunity to monitor the performance of the evaluator. This corresponds with the citywide leadership competency for those who supervise or manage others.

2. Mid-Year Performance Update

In January, the supervisor and the employee will meet for an informal mid-year performance update meeting. In this meeting, the performance objectives will be reviewed and modified, if needed. The supervisor will provide feedback to the employee regarding their performance against the performance objectives and the competencies. Discussion may also occur on the developmental plan.

Written feedback during the mid-year performance update is optional. However, the meeting itself is mandatory. To document the meeting the employee and the evaluator will sign and date the signature line for the mid-year session.

The next level manager will sign the form after the employee and the evaluator have done so.

3. Employee Self-Assessment and Formal Year-End Performance Evaluation

The end of the formal review period is June 30. In July or August, the formal year-end summary meeting occurs. Prior to the meeting, the employee may evaluate his/her performance by completing the Employee Comments/Examples of Results Achieved for Sections II and III. The employee self-assessment is optional.

C. Evaluator Comments

The evaluator's responses, Evaluator Comments and Ratings and Evaluator may be completed in one of three ways:

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1. Before the meeting: In this case a copy would be provided to the employee for review prior to the formal session;
2. During the meeting: The employee and the evaluator would work together to complete the sections during the meeting by documenting the discussion as it occurs; **OR**
3. After the meeting: In this case, the evaluator would complete the form after the meeting. The employee would receive a completed copy of the form. This scenario may require an additional meeting for the employee and evaluator to ensure that the form was completed accurately.

All Employee Comments and Evaluator Comments should be discussed during the formal year-end meeting.

D. The Overall Rating Process

The evaluator will complete the Overall Performance Rating, and will discuss the rating with the employee during the formal year-end meeting. The rating will be based on:

1. The employee's performance against his/her performance objectives;  
and
2. The ratings on the competencies.

The department management has responsibility/authority for the overall performance ratings.

E. Documentation and Filing

The employee and the evaluator sign and date the form on the year-end signature line only after all sections are completed. The next level manager will sign the form after the employee and the evaluator have done so.

The next level manager will send either the original paper copy of the form to the Human Resources Department, or will transmit a scanned electronic version. The next level manager will then provide a signed copy of the completed form to the employee and to the evaluator.

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Performance evaluations are not subject to appeal. Within ten (10) business days<sup>1</sup> after the date the employee is provided a copy of his or her completed evaluation form, the employee may provide a written response to the evaluation to the evaluator. The response shall be provided to the next level manager and forwarded to Human Resources with the completed evaluation form. The response shall be made part of the employee's permanent City employment record along with the performance evaluation.

F. Communication and Approval of the Process

Communication is critical to the management of the process. Supervisors, managers and department heads should communicate with each other prior to any evaluation meetings and assigning of overall ratings to ensure consistency and equity of evaluations within the department.

G. Transfers

Employees transferred within the rating period will receive joint evaluations. The department receiving the employee is responsible for the Overall Performance Rating and administering merit increases.

H. Active Status

All active employees and those hired within the review period will receive an evaluation and be eligible for merit treatment. Employees hired after June 30 will not receive a formal evaluation but are eligible for a merit increase.

I. New Hires

Supervisors should provide newly hired and promoted or transferred employees with a Performance Planning Session upon hire. Newly hired employees will participate in the process according to the regular schedule.

J. Merit Increases

Merit increases shall be based on the overall performance rating and the availability of funds. Whenever possible, merit increases will take effect the first pay period of the new fiscal year (October).

<sup>1</sup> "Business Days" as referenced in this policy shall mean Monday through Friday, 8:00 a.m. through 5:00 p.m. and which are not designated as holiday days by the City of Plano.

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Employees receiving an overall performance rating of unsatisfactory performance and employees on a PIP as of June 30th are not entitled to pay increases and may be subject to disciplinary action.

**III. Appendices**

A. [Performance Evaluation and Development Plan](#)