

703. Performance Planning and Review (PPR)

.1 Definitions:

Additional Planning Sessions – A meeting between a supervisor and employee that is held at the discretion of management due to changed circumstances including, but not limited to, a modification of the employee's work objectives/goals or those made necessary by improvement opportunities or remedial activities.

Initial Planning Session - A meeting between a supervisor and employee at the beginning of the employee's assignment to a position or the beginning of the first Rating Period of the calendar year.

Semi-Annual Review - A meeting between a supervisor and employee to (i) review progress towards objectives established in an Initial Planning Session or a previous Semi-Annual Review and (ii) clearly establish objectives and targets for the employee in the following six-month period.

Performance Evaluation (or Rating) Period – A period of time over which the performance of an employee is assessed. That Rating Period is typically semi-annual in length, either January through June or July through December.

Rating – For each Rating Period, an employee should receive an overall rating of either Proficient or Not Proficient. A Proficient employee performs all essential tasks as requested. A Not Proficient employee does not perform all essential tasks as requested. It is anticipated that even employees who receive a Proficient rating will have areas where they can improve and grow.

.2 The City fully supports a properly managed and objective system of employee performance review. The purposes of the performance review system of the City of Tulsa are to:

- Enable supervisors to clearly define the expectations and responsibilities of employees and, where possible, set specific expectations, including deadlines and level of performance expected of the employee;
- Provide criteria by which employees' performance will be evaluated;
- Suggest ways in which employees can develop professionally and improve performance, when necessary;
- Enable supervisors to communicate and achieve departmental goals;
- Provide a clear understanding of end results, as well as an explicit path of recovery through remedial activities and employee development, in the event employees fail to meet established performance goals; and
- Allow an employee to share any needs the employee has for professional development and for the employee and supervisor to identify ways, where possible, for these needs to be satisfied within current job responsibilities.

Supervisors should serve in a mentoring capacity and demonstrate to employees that City of Tulsa leadership is committed to providing opportunities for professional growth, as available and applicable. Employees should take ownership of clearly understanding all expectations of the work they are

responsible for performing, as well as clearly communicating their individual needs for development back to their supervisor.

.3 Performance Planning and Review (for non-sworn employees)

.31 Effective and timely feedback is a critical component of a successful performance management program and should be used in conjunction with setting performance goals. Employees deserve to know how they're doing in a regular, reoccurring manner. Within approximately two (2) weeks of appointment to a position, employees should have an Initial Planning Session with their supervisor. Additional Planning Sessions may occur at the supervisor's discretion.

.311 During the Initial Planning Session, work objectives/goals to be discussed for the relevant Rating Period include:

- What specific work will the employee do to help the City achieve its Mission and Vision? What specific, measurable targets have been set for the employee?
- What AIM Plan Pillars (Opportunity, Well-Being, City Experience, and Inside City Hall) does the employee's work directly connect to? What actions will the employee take in the upcoming Rating Period to contribute to success of actions and AIMS?
- How can the employee exhibit City values of Teamwork and High Expectations in the coming Rating Period? What opportunities can the employee seek out and engage in to improve how he/she exhibits City values?

The performance plan for each employee should include at least two (2) departmental goals which reflect the City's commitment to safety and the overall mission, vision and values of the City. The performance plan should also include at least one (1) individual goal defined by the supervisor. The individual goal(s) may be critical-function goals, are not meant to cover the totality of the work that the employee performs and may change from one performance cycle to the next.

.312 During the Semi-Annual Review, in addition to any growth/developmental goals, the following performance areas are to be discussed:

- How did the employee perform compared to the set targets?
- Were the planned actions completed? If not, what were the barriers to success?

- How did the employee exhibit City values (teamwork and high expectations)? What opportunities for improvement were completed?

.313 These items should be recorded electronically through the Munis PPR module.

- .32 Beginning January 1, 2019 each supervisor will conduct a face-to-face Semi-Annual Review to evaluate progress towards the employee's work objectives for the preceding six months and set targets and goals for the upcoming six months. Typically, the Semi-Annual Review meetings will occur in mid-to-late December and June of each year. Should an employee receive a rating of 'Not Proficient' for any semi-annual period, regular review sessions must be conducted at least monthly during the following semi-monthly period by the supervisor with the employee. Changes in job responsibilities, key projects, work objectives, work behavior expectations, improvement opportunities or remedial activities necessary will be recorded on the PPR form.
- .33 The supervisor will evaluate the employee's level of attainment in meeting the department and individual goal(s) set forth for that Rating Period, as well as employee career growth and developmental objectives. An overall performance level of either Proficient or Not Proficient will be determined. If necessary, an explicit path of recovery through remedial activities and employee development also will be determined. The evaluation of the employee's performance, career growth and developmental objectives and any remedial activities will be used to complete the PPR form. The completed PPR form will be communicated to the employee electronically through Munis.
- .34 The employee will then acknowledge he/she has reviewed the PPR form. The completed and acknowledged form then should be submitted to the Human Resources Department electronically through the Munis system. The submission process should be concluded before the conclusion of the Performance Evaluation Period.
- 35 The completed PPR form will be placed in all non-sworn Employees' personnel file after he/she has acknowledged the PPR form has been made available to them, or after a five (5) day review period has passed.
- .36 While an employee is required to acknowledge the form, the employee's acknowledgement does not imply agreement with the contents of the evaluation but indicates only that the employee has reviewed the completed PPR form. Within five (5) days of the PPR being presented to the employee, that employee must acknowledge the PPR and submit any comments regarding the PPR through the Munis system. The employee comments will remain attached to the acknowledged PPR. A first refusal to electronically acknowledge the form through the Munis system will result in a written counseling. Any subsequent refusal will result in further disciplinary action.

- .37 The supervisor will prepare a PPR form for the upcoming Performance Evaluation Period which communicates to the employee the job responsibilities, key projects, work objectives, work behaviors expected, as well as career growth and developmental activities. Thereafter, Performance Evaluation Periods are semi-annual for all non-sworn employees. Sections 703.4 and 703.5 are repeated during all Rating Periods.
- .38 Pre-Termination hearings will be scheduled for non-probationary employees who receive a rating of Not Proficient for two (2) of their three (3) most recent Semi-Annual Reviews.
- .4 Performance Planning and Review (Police and Fire Sworn Positions) Specialized forms relating to particular classifications within the Police and Fire Departments are made available for use within those areas. The basic functional use of these forms is similar to the previously described planning forms.
- .5 Administrative Management and Pay Decisions (in performance review)
 - .51 All performance related pay increases require both a Performance Planning and Review form and a Personnel Action to be submitted to the Human Resources Department.
 - .52 It is the responsibility of department supervisors to ensure the timely and proper evaluation of all employees. The Human Resources Department will furnish department heads with periodic management reports containing system information relevant to efficient and proper use of the department's performance appraisal and/or compensation program.
 - .53 Department heads are responsible for the proper administration of the provisions of the City of Tulsa Personnel Policies and Procedures Manual and applicable labor agreements. In addition, department heads are responsible for implementing and monitoring human resource programs that are designated by the Mayor.