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**ARA 3.09**  
**EMPLOYEE DEVELOPMENT**

**Chapters:**

- I. Probationary Period
- II. Employee Training and Development
- III. Performance Management
- IV. Training Plans

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**Auditor's Office Administrative Rule Information and History**

Questions about these administrative rules may be directed to the [Auditor's Office's Operations Management Division](#).

These rules were originally adopted by the City Auditor on December 11, 2017, and are adapted from [City of Portland Human Resources Administrative Rules](#), as noted below.

Revised and adopted by the City Auditor as ARA 3.09 on *Click to enter date*.

## CHAPTER I: PROBATIONARY PERIOD

### A. Probationary Period

A probationary period is the final step in the employee selection process and is used to determine the employee's merit and fitness for the job. The purpose of a probationary period is to give supervisors the opportunity to assess general work habits (e.g., punctuality, attendance, working relationships, etc.) and evaluate the employee's ability to meet performance standards.

1. Initial, expanded transfer, and promotional appointments to positions in the Auditor's Office's classified service serve a probationary period.
  - a. Employees who demote to a classification in which they previously held status will not be required to serve another probationary period for that classification.
  - b. Employees in positions outside the Auditor's classified service do not serve a probationary period and may be dismissed at any time for any reason.
2. The probationary period for non-represented employees is generally nine months. A longer probationary period of up to 12 months may be instituted for non-represented employees in a particular classification or office-wide if authorized by City Auditor.
3. The probationary period is included in calculating seniority, which is based on appointment date.

### B. Probationary Employee Mid-Point Evaluations

Each probationary employee's Division manager or supervisor must conduct an evaluation after the employee has served in the position for three to six months.

1. The purpose of the evaluation is to give the probationary employee formal feedback about what they are doing well and what they should work on improving in order to successfully pass the probationary period.
2. The manager or supervisor conducting the evaluation must complete the [Mid-Probation Memo Template](#), share their feedback with the employee, and provide the memo to Operations Management for placement in the employee's personnel file.

### **C. Extending the Probationary Period**

A probationary period may be extended, by mutual agreement of the City Auditor and the Division manager, if the probationary employee has been absent for an extended period or additional review of the employee's performance is required.

### **D. Termination of Employment During the Probationary Period**

1. An employee in their initial appointment to a new classification may be dismissed without a statement of cause at any time during probation if, in the opinion of the City Auditor or designee and the employee's Division manager, continuance in service is not in the best interest of the Auditor's Office. The employee is not entitled to any appeal rights.
2. A regular employee who fails to pass the probationary period upon expanded transfer or promotion to a position in the Auditor's Office's classified service will have return rights to the classification and position most recently held in which the employee formerly held status, unless the employee has been dismissed for cause. If the employee returns to their former classification and position, seniority in the higher classification will be cancelled.

### **E. Limitations During the Probationary Period**

During the initial probationary period (including any extensions), employees have no rights to a grievance procedure or the Auditor's Civil Service appeal process to contest decisions concerning discipline, layoff, or termination.

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This Chapter was adapted from:

[City Human Resources Administrative Rule 3.08 – Probationary Period](#). Adopted by Council on March 6, 2002 (Ordinance No. 176302). Last revised February 15, 2018.

## CHAPTER II: EMPLOYEE TRAINING AND DEVELOPMENT

### A. Purpose

The Auditor's Office recognizes that continuous learning by employees promotes the productivity and professionalism of its work force. Development of employees to sustain and improve performance also enhances the delivery of services to the City and the public and fosters job satisfaction. The purpose of this rule is to promote the training and development of Auditor's Office employees, while ensuring that staff time and training costs are managed appropriately. This rule is generally consistent with City human resources rules, but provides added guidance on practices specific to the Auditor's Office.

### B. Designation of Training as Mandatory

1. The City Auditor will determine which training courses are mandatory for Auditor's Office employees. To make this determination, the City Auditor will consider whether a training:
  - a. Is designed to promote understanding of and compliance with City Code, Auditor's Office administrative rules, or other applicable laws or requirements, and/or to reduce potential risk and liability to the City.
  - b. Communicates expectations regarding ethical, professional, equitable, and other appropriate conduct.
  - c. Is required by Council mandate or for compliance with legal or other requirements.
2. The Auditor's Office's [list of mandatory training courses](#) will be updated as needed.

### C. Division Manager Approval Required for All Non-Mandatory Training

1. Subject to any enrollment restrictions imposed by a training program, Division managers are responsible for determining whether an employee may participate in a non-mandatory training, including whether the employee may attend a training during regular work hours and/or at the Auditor's Office's expense. Division managers should consider the following criteria when determining whether to approve an employee's participation in a non-mandatory training:
  - The extent to which the training directly relates to the employee's job function

- Whether the training advances key priorities or the profile of the Auditor's Office or Division
  - Whether the training will contribute to the employee's career development and/or to obtaining or maintaining a professional license or certification
  - The employee's time on the job and job performance
  - Any history of or need for rotation between the Division's employees to determine who is selected to attend trainings each fiscal year
  - *If training costs are involved:* Whether the employee could obtain comparable training through free or less expensive means, and whether the training is within the Division's training budget
2. Employees who hold job classifications that require a professional license or certification may participate in trainings needed to maintain the license or certification, at the Auditor's Office's expense, with Division manager approval. Division managers are generally encouraged to approve such trainings, but may deny approval because of high training and/or travel costs, scheduling or employee workload concerns, alternative training options, or other relevant considerations.
  3. If an employee who holds a professional license or certification that is not required for their position requests approval to participate in a training needed to maintain the license or certification, the Division manager must evaluate the training request in accordance with this rule.
  4. Trainings must be scheduled to be compatible with the needs of the Auditor's Office. Training may be conducted during or outside of an employee's regular work schedule, as needed.
  5. Employees who attend a training may be asked to share what they learned with other employees of the Auditor's Office or Division.

#### **D. City of Portland Employee Training and Development Programs**

Employees are encouraged to take advantage of courses offered through Human Resources, other City-wide offerings, and outside trainings that are related to their job duties or that otherwise promote professional development, with approval from their Division manager.

1. [Human Resources](#) provides centralized administration and delivery of citywide training programs, including trainings on [Rule 2.02: Prevention of Workplace Discrimination, Harassment, and Retaliation](#), cultural competency, professional development, supervisor development, new employee onboarding, child and elder abuse reporting, workplace violence prevention, employee discipline, and complaint investigations.
2. Human Resources also coordinates and supports training programs sponsored by City bureaus through the CityLearner learning management system. Auditor's Office employees have access to these courses through CityLearner.
3. The Auditor's Office may provide trainings that are equivalent to or that augment courses provided by the City. Training programs developed by the Auditor's Office should be structured to support Auditor's Office interests and/or enhance the professional development of employees and should include systematic methods for assessing training needs, providing training to meet priority needs, selecting personnel for training, and evaluating the training provided.

#### **E. New Employee Orientation**

New Auditor's Office employees must review the Auditor's Office's human resources rules and complete required trainings, the City's new employee onboarding, and any Division-specific onboarding as soon as is practical.

#### **F. Technical and Professional Associations**

The Auditor's Office encourages employee membership and participation in technical and professional associations and activities at the local, state, and national level.

1. Within budget constraints and with Division manager approval, the Auditor's Office may pay for professional association dues relevant to an employee's position.
2. Division managers may approve leave and/or payment for costs associated with attendance at professional meetings, seminars, and similar work-related activities.

### **G. Training Time is Work Time**

All time spent in lectures, meetings, and training programs is considered work time for which employees must be paid, in accordance with applicable laws and rules, unless all of the following criteria are met:

1. The lecture, meeting, or training is outside of the employee's regular work hours;
2. The employee voluntarily chooses to attend the lecture, meeting, or training;
3. The lecture, meeting, or training is not directly related to the employee's job; and
4. The employee does not perform any productive work during the lecture, meeting, or training.

### **H. Tuition Reimbursement Program**

The Auditor's Office offers a Tuition Reimbursement Program to reimburse Auditor's Office employees for college-level courses related to their current positions or career objectives. For more information, contact Operations Management.

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This Chapter was adapted from:

[City Human Resources Administrative Rule 9.01 – Employee Training and Development.](#)

Adopted by Council on March 6, 2002 (Ordinance No. 176302). Last revised April 17, 2017.

## **CHAPTER III: PERFORMANCE MANAGEMENT**

### **A. Overview of Performance Management**

The performance management process is a tool used to establish clear priorities, support frequent and meaningful feedback, and ensure equitable assessments of individual employee performance.

### **B. Performance Reviews**

1. During the course of the City's fiscal year performance cycle, managers and supervisors must schedule at least four quarterly check-in conversations with each employee to discuss and set objectives, identify resource, training, and/or coaching needs, and evaluate performance.
2. All employees will receive an annual performance review, using standardized, City-wide rating scales. Annual performance reviews will be retained in employee personnel files.

### **C. Merit Pay Increases**

All employees who are not employed on a casual basis will be eligible to be considered for a merit pay increase based on their annual performance review. Merit pay increases are employee benefits that reward the prior year's performance.

1. To ensure consistency in the distribution of merit pay, adherence to the City's policy on pay equity, and the continued utility of merit pay to reward exceptional performance, merit pay will be awarded in alignment with the City's standardized performance rating scale.
2. Based on available resources, the maximum amount of merit pay that may be awarded to eligible employees will be determined annually by Council. The City Auditor has the authority to suspend merit pay increases.

### **D. Performance Improvement Plans**

A manager or supervisor may use a Performance Improvement Plan ("Plan") as a tool to formally define clear expectations for improvement for employees who are performing



below expectations, have shown a pattern of poor performance, and/or chronically underperform. A Plan is not disciplinary action, but may be a manager or supervisor's last attempt to give an employee the opportunity to improve their performance before discipline is imposed.

1. Typically, a manager or supervisor will place an employee on a Plan when quarterly check-ins, coaching, an employment investigation, and/or other strategies designed to improve performance have been unsuccessful. However, an employee may be placed on a Plan at any time.
2. A manager or supervisor may place an employee on a Plan as follows:
  - a. The manager or supervisor will use the [Performance Improvement Plan Template](#) to draft a Plan memo. Whenever possible, the manager or supervisor should review the Plan memo with Operations Management before meeting with the employee to be placed on the Plan.
  - b. The manager or supervisor will meet with the employee to discuss the performance issues that created the need for the Plan, set clear expectations for the employee's improved performance, and discuss the duration of the Plan.
  - c. The manager or supervisor must complete a [Performance Improvement Plan Status Memo](#) mid-way through the Plan and meet with the employee to discuss their progress.
4. When the Plan period ends, the manager or supervisor must evaluate whether or not the employee successfully completed the Plan and document their decision in a memo to be provided to the employee. If the Plan was not successfully completed, the manager or supervisor may opt to move to a disciplinary process, up to and including termination. See [Auditor's Office Administrative Rule 3.05 – Discipline](#).

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This Chapter was adapted from:

[City Human Resources Administrative Rule 9.02 – Performance Management](#). Adopted by Council on March 6, 2002 (Ordinance No. 176302). Last revised January 1, 2020.

## **CHAPTER IV: TRAINING PLANS**

### **A. Purpose and Eligibility**

A training plan is a tool used to hire and promote eligible employees through satisfactory completion of training, education, and career development factors.

1. To be eligible for a training plan, participants must:
  - a. Be permanently appointed Auditor's Office employees;
  - b. Meet the criteria identified in the training plan opportunity announcement; and
  - c. Not currently meet the qualifications of the training plan position.
2. The Auditor's Office must complete an internal recruitment and evaluate existing staff prior to posting an external training plan. External candidates must meet the criteria identified in the training plan opportunity announcement and not currently meet the qualifications of the training plan position.

### **B. Pre-Approval**

A Division wishing to fill a position through a training plan must submit a written request to Operations Management identifying the position they wish to fill, along with the timeline, selection process, and application evaluation criteria to be used to fill the position. Operations Management may request additional information to evaluate the request. Generally, a training plan will not be pre-approved if:

1. There are qualified persons on the recall list (laid-off employees) and/or on the injured worker list for the targeted classification; or
2. The selection process identified by the Division is not valid, including but not limited to the scope and timeline for recruitment.

### **C. Posting of a Training Plan Opportunity**

If Operations Management approves a request to proceed with a training plan, Operations Management will post notice of the training plan opportunity. The training plan announcement must be posted for a minimum of five working days and must identify:

- The classification, position duties, and responsibilities of the position;
- The critical knowledge, skills and abilities needed for the job;
- Salary (once training is completed);
- Method of application (resume, cover letter, etc.); and
- The contact person's name and phone number.

#### **D. Application and Selection Process**

A competitive process must be used to select a person to fill the training plan position.

1. Operations Management will receive and maintain applications, and a person(s) selected by the Division will review and evaluate applications.
2. Applicants must be notified of the result(s) of the review.

#### **E. Training Plan Development and Approval**

The selected employee and Division manager must review the knowledge, skills, and abilities required for the position, as stated in the classification specification.

1. The selected employee and Division manager will identify to what degree the employee possesses the knowledge, skills, and abilities for the targeted position and how the employee will be trained to meet each knowledge, skills, and ability requirement, including:
  - a. The methods that will be used to develop the employee's knowledge, skills, and abilities. The training plan should include a combination of course work, on the job training, seminars, self-study, etc.
  - b. The date that the training for each knowledge, skill, and ability requirement is projected to be completed. Training plans must be designed to run from a minimum of six months to a maximum of two years.
2. The Division manager must submit the developed training plan to Operations Management for review.
3. Operations Management will review the training plan against the following criteria:

- Are all of the knowledge, skills, and abilities required for the targeted classification listed in the training plan?
  - Does the training plan clearly describe the trainee's current level of expertise for each knowledge, skill, and abilities listed?
  - Will the trainee need training in the majority of the knowledge, skills, and abilities?
  - Are the proposed training components appropriate and reasonable for raising the trainee's knowledge, skill, and abilities to the required levels of the targeted classification?
  - Is there a combination of on-the-job training, self-study, and formal classes required throughout the training plan?
  - Will the training be completed within the required timeframe?
4. If all the criteria are satisfied and appropriately recorded, the training plan will be forwarded to the City Auditor for approval. The training plan officially begins on the date the City Auditor approves the plan.

#### **F. Completing the Training Plan**

During the course of the training plan, the employee's supervisor should sign off on each knowledge, skill, and ability requirement that has been completed. If the benchmarks are not being met, the supervisor may revise, extend, or discontinue the training plan.

#### **G. Approval of Completed Training Plan**

1. Once the employee has met all of the training plan objectives, the Division manager must submit the completed training plan to Operations Management for approval.
  - a. Documentation of the completed training plan should include a record of the classes, courses, on-the-job training, certificates, and other activities completed by the employee, along with the supervisor's initials and the date of completion for each item.
  - b. The training plan must be signed by all appropriate parties, including the Division manager.

2. After verifying that the required conditions have been met, Operations Management will forward the completed plan to the City Auditor for final approval.
3. The employee will be eligible for promotion to the target class once the City Auditor approves the completed training plan. Completed training plans are considered approved on or after the date the final, completed training plan is approved by the City Auditor.
  - a. To affect a promotion, Operations Management must complete a personnel action.
  - b. Once promoted, the employee will need to complete the applicable probationary period in the new, higher level classification before regular status is achieved.

## **H. Compensation**

1. An employee on a formal training plan in a higher classification is not promoted to the higher classification until completion of the training plan. The employee's salary must be paid in accordance with the applicable compensation schedule that applies to their current classification.
2. Once a training plan has been successfully completed and the employee is permanently appointed to the higher classification, the employee may be placed in the salary range of the higher classification as indicated by the training plan.

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This Chapter was adapted from:

[City Human Resources Administrative Rule 9.03 – Training Plans](#). Adopted by Council on March 6, 2002 (Ordinance No. 176302). Last revised January 1, 2020.