

# REGIONAL WATER AUTHORITY POLICIES AND PROCEDURES MANUAL

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Policy Type : Human Resources  
Policy Title : Executive Director Performance Evaluation Procedure  
Policy Number : 400.4  
Date Adopted : July 27, 2005  
Date Amended : November 8, 2012

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## **Purpose of Evaluation**

The five purposes of the performance evaluation are:

1. To clarify the roles and responsibilities of the Executive Director.
2. To strengthen the relationship among the Executive Director, the Regional Water Authority (RWA) Board of Directors and the Sacramento Groundwater Authority (SGA) Board of Directors.
3. To give the incumbent feedback on his/her performance and to identify areas of strength and where improvement may be needed.
4. To establish personal performance objectives for the Executive Director.
5. To provide a basis for adjusting compensation and other contract terms and conditions.

## **Frequency**

The schedule for evaluating the Executive Director's performance will be established jointly by the RWA Executive Committee, SGA Board and the Executive Director. Performance Evaluation of the Executive Director will be performed annually or on a schedule otherwise determined by the RWA and SGA Chairs.

## **Who is Involved**

The RWA Chair will select an Evaluation Committee comprising four members, consisting of two members from the RWA Executive Committee and two Board Members from the SGA. Members of the Evaluation Committee will not be from the same agency. Whenever feasible, the Chair of the RWA will chair the Evaluation Committee and the Chair of the SGA will serve on the Evaluation Committee.

*Note:* The Executive Director is an employee of the RWA, with which the SGA contracts for management, administrative and staff services.

## **Confidentiality**

Consistent with Government Code sections 6254(c), 54957 and 54963, and common law privacy protections, Board members and other individuals involved with the

evaluation process will maintain the confidentiality of all privileged and/or confidential evaluation materials and discussions.

## **Evaluation Procedure**

The evaluation procedure will typically include the following chronological steps:

*Days indicated are approximate.*

*A schedule will be coordinated at the direction of the RWA Chair*

### **1. Process Initiation**

#### **Meeting No. 1: Evaluation Committee including Executive Director**

##### ***Action by Evaluation Committee and Executive Director***

A preliminary meeting will be held with the Evaluation Committee and the Executive Director to review and concur on the evaluation form, evaluation procedures and performance criteria to be evaluated and to set a schedule for completing the evaluation process. The strategic plans, annual work plans, goals and objectives adopted by the RWA and the SGA, and the Executive Director's prior evaluation shall serve as the bases for the performance criteria to be evaluated.

### **2. Not later than Day 10**

#### ***Action by Executive Director***

Following the preliminary meeting, the Executive Director will complete a self-assessment using the evaluation form. The Executive Director will forward a copy of the self-evaluation along with a copy of a blank evaluation form with performance evaluation instructions to members of the Evaluation Committee and the members of the RWA Executive Committee. At the discretion of the Evaluation Committee Chair, input and/or evaluations may be solicited by the Evaluation Committee from other RWA and SGA Board members, and Directors, Managers and staff from the member agencies, contracting entities, associate members, and staff of RWA.

### **3. Not later than Day 24**

#### ***Action by Evaluation Committee & RWA Executive Committee Members***

Following receipt of the self-assessment, individual Evaluation Committee members and RWA Executive Committee members will complete the evaluation form and forward a copy to the Chair of the RWA.

### **4. Not later than Day 30**

#### **Meeting No 2: Evaluation Committee Meeting**

##### ***Action by Evaluation Committee***

The Evaluation Committee will meet to review and discuss the evaluations; the Executive Director's self assessment and any input solicited from others, and will prepare a draft "Performance Report," which will represent a summary and compilation of the results of the evaluations and any other input obtained. The draft Performance Report may include personal performance objectives, both generally and for each Authority, for the Executive Director.

**5. Not later than Day 35**  
**Meeting No. 3a: Evaluation Committee Meeting including Executive Director**

The Evaluation Committee will conduct an interview session with the Executive Director to discuss the evaluation results and the draft Performance Report and to discuss any proposed adjustments to the Executive Director's compensation and contract terms and conditions.

Members of the Evaluation Committee and the Executive Director, at their discretion, may provide information regarding proposed adjustments to compensation and other contract terms and conditions.

**6. Not later than Day 40**  
**Meeting No. 3b: Evaluation Committee**  
***Action by Evaluation Committee***

Following the interview session, the Evaluation Committee will convene or correspond to amend the draft Performance Report as appropriate, and to discuss and provide written recommendations for adjustments, if any, to the Executive Director's compensation and other contract terms and conditions.

**7. Not later than Day 50**  
**Meeting No. 3c: Chairs of the RWA and the SGA**  
***Action by Chairs of RWA and SGA***

In the event the Chairs of the RWA and the SGA are not represented on the Evaluation Committee, the Chairs will conduct a conference with the Executive Director to discuss the draft Performance Report and the recommendations, if any, to adjust the Executive Director's compensation and other contract terms and conditions. If the Chair(s) of RWA and/or SGA do not sit on the Evaluation Committee, the Chair of the Evaluation Committee will transmit the draft Performance Report and any recommendations for adjusting compensation and contract terms and conditions to the non-participating Chair(s) at least five days prior to their meeting with the Executive Director.

**8. Prior to the next regularly scheduled meeting of the RWA Executive Committee**  
***Action by Chairs of RWA and SGA***

The revised draft Performance Report will be signed by the Chairs of the RWA and the SGA and personally delivered by the Chair of the RWA Executive Committee for discussion in closed session at the next regularly scheduled meeting of the RWA Executive Committee. The draft Performance Report will be provided to the members of the RWA Executive Committee not less than four working days prior to the meeting at which it will be discussed,

If appropriate, written recommendations for adjustments, if any, to the Executive Director's compensation and other contract terms and conditions will be signed by the Chairs of the RWA and the SGA and personally delivered by the Chair of

the RWA to the RWA Executive Committee for discussion in open session at the same or a future noticed meeting of the RWA Executive Committee.

**9. RWA Executive Committee  
Meeting No. 4: RWA Executive Committee, Evaluation Committee (and  
Executive Director)**

The draft Performance Report will be discussed in closed session at a noticed meeting of the RWA Executive Committee. Attendance and participation by all members of the Evaluation Committee (including the two SGA representatives) at this session is encouraged. At the discretion of the RWA Executive Committee, the Executive Director may be asked to participate in portions of the closed session. The RWA Executive Committee will consider approval (or approval with appropriate amendments) of the final Performance Report.

Upon conclusion of the closed session discussion and approval of the final Performance Report, the RWA Executive Committee will reconvene in open session to discuss any recommendations for adjusting the Executive Director's compensation and contract terms and conditions proposed by the Evaluation Committee. Attendance and participation by the Evaluation Committee at this session is encouraged. The RWA Executive Committee may choose to ratify or amend the recommendations of the Evaluation Committee before forwarding final recommendations for adjusting the Executive Director's compensation and contract terms and conditions to the RWA Board of Directors for consideration.

**10. Subsequent to RWA Executive Committee Meeting  
Meeting No. 5: RWA Chair, SGA Chair, Executive Director**

At the discretion of the RWA and SGA Chairs, a final meeting may be convened with the Executive Director to discuss the final Performance Report and any compensation and contract adjustment recommendations proposed by the Evaluation Committee and approved by the Executive Committee. The final Performance Report will be included in the Executive Director's personnel file and will be used as a basis for evaluation the following cycle.

**11. At the next regularly scheduled meeting of the RWA Board of Directors  
Meeting No. 6: RWA Board of Directors Meeting  
Action by RWA Chair and RWA Board of Directors**

The RWA Board of Directors will receive and discuss any compensation and contract adjustment recommendations proposed by the RWA Executive Committee in open session at a noticed meeting of the RWA Board of Directors. The RWA Board of Directors may choose to reject, ratify or amend the recommendations of the RWA Executive Committee. At the RWA Chair's discretion, the Executive Committee also may provide copies of the final Performance Report or a summary of that report to the RWA Board of Directors, subject to all applicable privacy protections accorded to the Executive Director's personnel records.