Agenda Item Number: 3

Agenda Report Reviewed by:
City Manager:

CITY OF SEBASTOPOL
CITY COUNCIL
AGENDA ITEM

Meeting Date:	July 16, 2019
To:	Honorable Mayor and City Councilmembers
From:	City Administration
	Finance Director
Subject:	Approval and Adoption of City-Wide Performance Evaluation Program
Recommendation :	That the City Council Approve the Performance Evaluation Program
Funding:	Currently Budgeted: _____ Yes _____ No __XX__ N/A
	Net General Fund Cost:
	Amount: $

INTRODUCTION:
This item is to request that the Mayor and City Council Approve the Performance Evaluation Program.

BACKGROUND:
Each Department in the City has a system of evaluating employees on their performance of their jobs. To ensure a consistent and standard program throughout the City departments, City staff, in consultation with Regional Government Services (RGS), the City's consultant, have, over the last year, worked on the preparation of a comprehensive City-Wide Performance Evaluation Program. City staff has met with the Department Heads as well as the bargaining units to create a comprehensive performance evaluation program for City employees.

DISCUSSION:
Employee performance evaluations contain performance standards that employees must perform for their job duties at a level that meets the City's expectations. Performance evaluation also plays a direct role in providing periodic feedback to employees, such that they are more self-aware in terms of their own performance metrics.

What's the purpose of performance evaluation program?

- Sets clear expectations by establishing clear performance standards, provides ongoing observation and feedback, promotes employee growth and development and increases communication.

- Provides the mechanism for a supervisor to communicate performance standards based on the evaluation of the employee. This also allows the City to provide its employees with the tools necessary to achieve their job responsibilities as it helps to promote communication and provide useful feedback about job performance.

- Facilitate better working relationships, to provide an historical record of performance and to contribute to professional development of the City employees.

- Serve as an employee's report card from his/her manager that acknowledges the work he/she has done in a specific time period and the scope of improvement.

- Provides the opportunity and encourages mutual dialogue to allow employees to provide contributions toward the success of the department and the City overall.

Employee performance evaluations should be provided at least annually to non-probationary employees. The evaluation reports progress and recognizes employee strengths and special abilities, as well as providing an opportunity to discuss areas that need improvement and to correct any deficiencies. Annual appraisals and evaluations provide an ongoing performance record, and may be used as a supportive document for personnel actions such as promotions or demotions. Evaluations also provide an employee the opportunity to discuss personal goals and expectations, City goals and means for improvement.

Annual evaluations are also an opportunity to formulate or update the employee job descriptions in consultation with appropriate bargaining units.

The City submitted the final program to the bargaining units and as of this meeting has received no comments.

RECOMMENDATION: Staff recommends that the Mayor and Council:

- Approve the Performance Evaluation Program

Attachments:
Performance Evaluation Program

CITY OF SEBASTOPOL

PERFORMANCE EVALUATION PROGRAM

City of Sebastopol
City Council Policy #_____
Adopted at the City Council Meeting of _____

OVERVIEW

This handbook was written to be used within the City of Sebastopol as a comprehensive guide to the Performance Appraisal process. It was designed to assist City supervisors and department heads in conducting the most effective and timely performance reviews. It includes outlines of supervisor and employee responsibilities, guidelines for discussions, worksheets, and forms appropriate for each of the components of the Performance Management Process.

The City encourages informal appraisals on an as-needed basis to ensure that employees are getting well-timed feedback in order to be successful in the performance of their jobs. This annual process does not replace daily communication and feedback between the supervisor and employee; it is intended to be a tool to summarize and evaluate an employee's performance throughout the past rating period.

The information contained in this handbook is subject to change over time as the City revises its policies and practices.

Agenda Item Number 3
(7-16-2019 CC Meeting) - Page 4 of 38

TABLE OF CONTENTS

Introduction 3

Background on performance management
City job competencies
Performance management model
Development of the Job Performance Management Process

Performance Planning 7

Definition and expectations of supervisor and employee roles
Guidelines for performance planning meeting
Sample agenda for planning meeting

Ongoing Coaching 11

Definition and expectations
Supervisor and employee roles

Performance Review 14

Definition and expectations Supervisor and employee roles
Guidelines for conducting a review

Appendices 18

APPENDIX A: Performance Planning Worksheet
APPENDIX B: SMART Goals Guidelines
APPENDIX C: Self-Evaluation Form
APPENDIX D: Performance Review Form

Agenda Item Number 3
(7-16-2019 CC Meeting) - Page 5 of 38

INTRODUCTION

City Staff has created this manual with the following goals and principles:

Goals:

- Improve staff performance in meeting City goals and objectives and the needs of the public.
- Recognize exceptional performance, accomplishments, and contributions.
- Strengthen management accountability.

Principles:

- Performance management is a shared commitment to outstanding public service.
- Performance management balances autonomy and accountability at the individual and organizational levels.
- Staff development and continuous learning will be encouraged and supported.

In addition to creating the underlying goals and principles for the performance management system, the City also seeks to ensure the alignment of key City values throughout all work assignments by creating performance competencies for all employees that can be used during performance evaluations as follows:

Performance Competencies

These performance competencies may not apply identically in every case. For example, although all employees are encouraged to demonstrate initiative, the scope of possibilities for initiative will vary with the level of authority and type of job duties in each position.

1. Job Knowledge
   - Competent in required job skills and knowledge
   - Exhibits ability to learn and apply new skills
   - Keeps abreast of current developments
   - Requires supervision appropriate to specific job and task
   - Displays understanding of how job relates to others and impacts co-workers and coordinates with other employee's duties
   - Uses resources effectively
2. Quality
   - Demonstrates accuracy and thoroughness
   - Displays commitment to excellence –i.e. e., completing tasks with consideration for consequences, leaving a clean worksite, making sure equipment is stored at closing time
   - Looks for ways to improve and promote quality
   - Applies feedback to improve performance
   - Monitors own work to ensure quality

Agenda Item Number 3
(7-16-2019 CC Meeting) - Page 6 of 38

3. Quantity
   - Meets productivity standards
   - Completes work in timely manner
   - Meets productivity standards and strives to exceed them
   - Works quickly within safety and quality parameters
   - Achieves established goals

4. Adaptability
   - Adapts to changes in the work environment
   - Manages competing demands
   - Accepts criticism and feedback
   - Changes approach or method to best fit the situation

5. Attendance & Punctuality
   - Schedules leave time off in advance
   - Begins working on time and observes proper breaks
   - Keeps absences within City guidelines
   - Ensures work responsibilities are covered when absent
   - Arrives at meetings and appointments on time

6. Dependability
   - Responds to requests for service and assistance
   - Follows instructions and responds to management direction
   - Takes responsibility for own actions
   - Commits to doing the best job possible
   - Keeps commitments and agreements

. Communication
   - Expresses ideas and thoughts concerns effectively in verbal and written form
   - Exhibits effective listening skills
   - Demonstrates good reading comprehension
   - Keeps supervisors and co-workers adequately informed
   - Selects and uses appropriate communication methods for each audience

8. Customer Service
   - Displays courtesy and sensitivity to co-workers and members of the public
   - Manages difficult customer relations situations effectively
   - Responds promptly to customer needs

9. Teamwork
   - Establishes and maintains effective working relations
   - Exhibits tact and consideration
   - Displays positive outlook and pleasant manner

- Offers assistance and support to co-workers
- Contributes to building a positive team spirit
- Works actively to resolve conflicts

10. Representing the City
    - Complies with rules, regulations, and policies
    - Displays honesty and integrity
    - Exhibits ethical behavior
    - Keeps self-well-groomed and dresses appropriately for position
11. Initiative
    - Steps forward readily to advance department objectives
    - Undertakes job related self-development activities
    - Seeks increased responsibilities
    - Looks for and takes advantage of opportunities
    - Asks for help appropriately when needed
12. Leadership
    - Exhibits confidence in self and others
    - Inspires respect and trust
    - Reacts well under pressure
    - Shows courage to take action
    - Encourages others to perform well
13. Management (for department heads, supervisors, managers only)
    - Manages resources effectively
    - Clearly defines problems and solutions
    - Plans, organizes, directs teams and completes projects in an efficient manner

Performance Management Process

Using goals and competencies, a model of performance management as an ongoing process includes four components:

1. Performance Planning: A dialogue between a supervisor and employee to establish clear, specific performance goals and expectations at the beginning of the performance cycle.

2. Coaching: Two-way discussions between a supervisor and employee which focus on recognizing both employee strengths and areas for improvement and learning, as well as identifying and removing barriers to performance.

3. Performance Review: A summary two-way discussion and written documentation focusing on employee performance: areas of accomplishment, achievement of goals, and development needs.

The City's approach to performance management includes the goals, expectations, and examples of competencies presented in the preceding pages. The Performance Management Process is outlined below.

Component	Goal	On-going Performance Management Process
Performance Planning	Discuss the job duties how they relate to the employee's competencies; establish performance goals for the next year.	Planning discussion between supervisor and employee; at least 3 goals have been developed for the next review period.
Coaching	Encourage ongoing two-way communication during the performance cycle	Regularly scheduled meeting between supervisor and employee to discuss progress; log events and goal progress notes are entered into the employee's record on a monthly basis.
Employee's Self-Evaluation	Provide time and structure to employee to reflect on progress, growth and possible ways to develop professionally	Employee completes a self- evaluation prior at least 2 weeks prior to the performance review due date.
Performance Review	Evaluate performance based on the performance planning discussion and achievement of goals	Finalize the written evaluation.

PERFORMANCE PLANNING

Performance planning is the first step in the Performance Management process; it is the preliminary dialogue between a supervisor and employee to establish clear, specific performance goals and expectations at the beginning of the performance cycle.

The purpose of this dialogue between a supervisor and an employee is to:

- Review the essential duties responsibilities and assigned to the position
- Establish and agree upon performance goals, expectations, and timelines
- Clarify what the employee will be evaluated on
- Set the stage for ongoing feedback and coaching throughout the year.

In the Performance Management Process, the supervisor and employee will engage in a performance planning discussion at least once annually; in addition, performance planning discussions should occur at any time that performance goals and expectations change. It is important that the supervisor document the agreed-upon goals and expectations and make a copy for the employee.

Supervisor's Role

- Complete Supervisor's Performance Planning Worksheet
- Have a thorough understanding of the work involved - the essential duties and responsibilities of the job, as well as the functions and key tasks
- Review the job description to ensure that information is accurate and up to date
- Describe clearly constitutes "successful performance," and the core competencies, knowledge, skills, and abilities required
- Identify priority areas among the job and job-specific competencies that will be emphasized in the evaluation
- Communicate how the results of the employee's work contribute to the Department's goals
- Ask the employee what additional information, resources, tools, training, or supervisory support is needed for them to be successful on the job
- Set goals for attending specific classes, etc.

Employee's Role

- Have a thorough understanding of the work involved - the essential duties and responsibilities, the critical functions, and key tasks
- Review the job description to ensure that information is accurate and up to date
- Understand and define what constitutes "successful performance" of the job
- Understand and describe how this position contributes to the Department's goals
- Communicate what information, resources, tools, training, and supervision are needed
- Ask questions to clarify information

Guidelines for Performance Planning Meetings

The performance planning meeting may vary, depending on the length of the time the employee and supervisor have worked together, the degree of experience of both individuals, the quality of past performance, etc. Below is a sample agenda that includes several important issues to address during a performance planning session.

Sample Agenda for a Planning Meeting

Introduction:

The introduction sets the tone of the discussion and presents the focus of performance planning: to review the essential duties and responsibilities assigned to the position, establish and agree upon performance expectations, clarify what the employee will be evaluated on and set the stage for ongoing feedback and coaching throughout the year.

Review Position Description:

The performance planning meeting is a good opportunity to review the position description and determine if it is still accurate. Reviewing the position description:

- Clarifies duties and responsibilities that may be unclear to the employee
- Helps the supervisor know what the employee does on a daily basis
- Highlights areas of the job that need special attention

Discuss Competencies:

The supervisor and employee should discuss core competencies, knowledge, skills, and abilities that are required including the leadership competency.

Establish Goals and Expectations:

Supervisor and employee should work together to determine the goals and expectations (measures) for the next review period. Goals and expectations should be behavioral and measurable. Goals should be:

- Specific, rather than general.
- Achievable within the review period.
- Measurable - either in quantity, quality, or results.
- Within the employee's ability and authority.
- Related to the employee's job and to the City's business.

Write goals in a positive manner such as "Improve" or "increase" rather than in negative tone such as, "Do not" or stop. Finally, test the goal to be sure that it does not describe:

- Responsibilities which are beyond the employee's authority.
- Outcomes which cannot be observed or measured until after the review period.
- Tasks that are impossible for an employee to achieve because of a lack of skills, knowledge, resources, or tools.

Examples of Goal Statements

Not specific:

Poor: Improve accuracy of work.

Better: Improve the accuracy of claims processed by reducing average number of errors from 10% to 7% by the end of this review period.

Not achievable within the review period:

Poor: During this review period, complete at least half the programming needed for the new XYZ system that will be released next year: (Note: The phrase at least half is not measurable since you can't determine exactly what the total consists of until after the review period. It is important when setting goals that might extend beyond the review period to only set the portion of the goal that can be completed and measured, within the review period.)

Better: Complete programming on modules A, B, and D of the new XYZ system by 8/31/96. (Note: Even better would be to separate each module into a separate goal - assuming that they can be separated and give each a separate due date.)

Not measurable:

Poor: Increase inspections significantly.

Better: Increase the number of single-family residence inspections from 20 per week to 35 per week by the end of the calendar year.

Not within the employee's ability or authority:

Poor: Reduce accidents in the field by 5%. (Note: This might be a satisfactory goal for a person with overall field responsibilities; however, in this case the goal was assigned to each of the maintenance workers.)

Poor: Complete year-end processing no later than 1/31 of the following year.

Better: By 1/15, distribute W2s to all employees and by 1/31 file W2 reports with all federal and state government agencies.

Not related to the employee's job or to the business:

Poor: Learn how to do the same work XYZ performs.

Better: As part of the department's cross-training efforts, each employee is being assigned as an official back- up to another employee. This requires learning enough of the employee's duties that you can cover 75% of day-to-day responsibilities for a one week period, if needed. You are assigned as official back- up to XYZ.

Not a goal but part of the employee's normal job duties:

Poor: Write news releases.

Better: Write news releases for the five new programs being developed this year; releases must be in the manager's hands no later than two weeks before program release dates.

Discuss Preferences for Feedback and Coaching:

Performance planning presents an opportunity for the supervisor and employee to discuss how they will communicate about performance. The supervisor and employee should discuss how the employee likes to be recognized for good performance and how they prefer to receive feedback when there is a performance problem. In turn, supervisors and employees should also discuss how the supervisor prefers to receive feedback from the employee and by what method

Discuss Needed Training and Development

The discussion should include professional training and development that is necessary to attain the performance goals. Identify what knowledge and skills the employee will need to learn or improve to meet performance standards and assign appropriate classes and workshops.

Closing

Check in with each other about how the process went. Review any "next steps" that have been agreed upon. Make sure employee and supervisor both have a copy of what has been agreed upon.

ONGOING COACHING

On-going coaching is a process of providing consistent, supportive feedback to improve performance. In the workplace, coaching usually takes place in two-way discussions that focus on recognizing both employee strengths and areas for improvement and learning, as well as identifying barriers to performance.

Definition and Expectations

Coaching is an ongoing process of communication between the supervisor and the employee focused on improving current performance and building capabilities for the future. It involves informal conversation or notes, as well as more formal coaching, meetings, and written documentation. Coaching includes a variety of activities, such as:

- Observing and documenting performance, behavior, and results
- Recognizing good performance
- Correcting poor performance
- Providing instruction
- Directing employee's behavior
- Listening to employee's concerns and ideas
- Providing encouragement
- Removing barriers to performance

In the Performance Management Process, it is expected that coaching will occur at regularly scheduled meetings and on an as-needed basis throughout the year; it may be initiated by either the supervisor or the employee. Supervisors and employees are encouraged to document these discussions as appropriate.

Below are general guidelines for a supervisor to keep in mind when coaching an employee:

- Do allow time for coaching. Even on an informal basis, it takes time to do it well.
- Do prevent interruptions.
- Do plan your communication in advance; be direct and clear.
- Do ask how you can be of help to your employee.
- Do ask the employee what may be preventing him/her from performing, if the coaching is about not meeting expectations.
- Do ask your employee for solutions to the problem.
- Do describe the employee's behavior as specifically as possible. Describe what impact it has on others or the unit.
- Do be empathetic when giving feedback.
- Do write down what you and your employee each agree to do.
- Do agree on follow up. Will you meet again to discuss the issue? When?
- Do end on a positive note; re-state your support for your employee and your willingness to help them succeed.

Suggested Coaching Planning Questions for Supervisors:

- What productive behavior have I observed that I can recognize?
- In what ways does this person prefer to be recognized for good performance?
- How could this staff member improve his/her performance?
- What is the difference between "actual" and "desired" performance?
- Do I know what this employee is working on? If so, what is the status of the project?
- How well is this employee doing in meeting his/her goals? What can be done to facilitate his/her progress?
- Have I checked to see if there are any barriers this staff member might be experiencing in performing his/her job duties?
- Have I asked this staff member how I can help him/her succeed?
- What are this employee's career goals?
- Have I provided or made available the training this staff member needs to do the job and develop professionally?

In some situations, the coaching process described may not result in improved performance immediately. When that occurs, supervisors may need to consider additional steps to manage performance issues successfully. Supervisors are responsible for understanding and implementing appropriate and timely performance guidance and for asking for coaching themselves when necessary.

In order to accurately evaluate performance during the course of the entire year, it is essential for the supervisor to keep track of assignments, coaching conversations, and progress notes consistenly throughout the year. These notes must be kept in a locked filing cabinet, if hard copy, or a password protected folder, if written on the supervisor's computer. The sole purpose of such notes is to provide the supervisor a record upon which to base the annual performance evaluation. For example, goals and achievements, notes from conversations, and specific events recorded in the file can be use as examples as pat of reviewing the employee's performance. After the evaluation is delivered, these notes must be shredded.

The perfomance evaluation, once delivered and signed, will be stored in the personnel file pursuant to legal record retention requirements.

Employee's Role

Staff members are encouraged to be active participants in their own coaching by:

- Asking their supervisors for coaching when they need it
- Listening and responding to feedback from coaches
- Providing feedback to their supervisors about what they need to perform their job effectively.

Suggested Coaching Planning Questions for Employees:

- Am I clear on what's expected of me as written in the job description?
- In what areas do I believe I am meeting or exceeding performance goals? Is there anything I need in order to do better in these areas, e.g. equipment resources, training, etc.?
- How well am I meeting my goals? If not, what help do I need to assure my goals are met?
- Is there information I need to share with my supervisor about barriers to my job performance?
- Are there additional knowledge or skills that I would like to learn?
- Do I have suggestions to improve the way my work is done, e.g., better procedures, updated forms, etc
- Are there concerns that I have that I should share with my supervisor?

PERFORMANCE REVIEW

The performance review is a cumulative, two-way discussion and written documentation focusing on employee performance.

Definition and Expectations

The actual performance review discussion is an extremely important component of the performance management process. It is the culminating conversation between the supervisor and staff member regarding:

- Where performance exceeded, met, or fell below expectations,
- Goals that were set and achieved by the staff member
- Professional development plan and outcome of training
- Future goals
- Future coaching and training that will be needed goals.

Information from the performance review is critical not just for performance improvement, but for other human resource decisions, including step increases and appropriate job assignments. In the Performance Management Appraisal Process, it is a requirement that every staff member will receive, at minimum, an annual review on their anniversary date that will be discussed, documented, and submitted to the Administrative Services Department for inclusion into the employee's personnel file.

Self Evaluation

Self-evaluation can be very helpful to employees by encouraging them to reflect on their skills, areas of growth, and how their work contributes to the larger organization. Self-evaluation helps the employee prepare to actively engage in the performance review and demonstrates that improving performance is a shared responsibility. Self-evaluations that are shared with the supervisor prior to the performance review provide valuable data as input into that process. The evaluations provide an opportunity to discuss and coach where perceptions differ.

Supervisor's Role

Supervisors should give the employee a copy of the self-evaluation form at least two weeks before the annual performance review and ensure that it is completed at least a few days before the review is to be given. He/she must emphasize the importance of self-evaluation as a method for both supervisor and employee to learn and communicate.

Employee's Role

Employees should take adequate time to complete the self-evaluation form in a thoughtful way; and should give it to their supervisors well ahead of the scheduled performance review.

The Performance Review Meeting

Supervisor's Role

Before the performance review:

- Share your review with your supervisor and/or department head for input and support. Schedule ample time and a private place for the review discussion.
- Notify the employee in advance.
- Arrange for work coverage for your staff member; reviews should be conducted during regular business hours, not during break, lunch, or after the workday is over.
- Review the employee's job description and the expectations that were set during the last performance planning discussion.
- Review the employee's completed self-evaluation.
- Review the documentation you have collected throughout the year.
- Plan for a two-way communication during the review meeting.
- Think of questions that you can use to help your employee "open up."

During the performance review:

- Offer the employee an opportunity to talk about his/her self-evaluation.
- Provide specific feedback on the employee1s performance, including priority areas. Include performance examples that exceeded, met, or fell below standards and expectations.
- Discuss learning, development, and support resources for the employee.
- Set targets for improvement.
- Answer employee questions with regard to the performance review.
- Sign the performance review and obtain the employee's signature.

After the performance review:

- Attach a copy of the employee's self-evaluation to the review document.
- Make a copy of the review for the employee and yourself.
- Submit the original to your department for signature(s) and submission to Administrative Services Department.

Employee's Role

Before the performance review:

- Gather any documentation regarding your performance that you have collected throughout the year (letters, notes, awards, recognition, etc.)
- Complete your self-evaluation; make a copy and give it to your supervisor in advance of the meeting.
- Review your job description and expectations that were set during the performance planning discussion.
- Write down questions that you want to ask your supervisor.
- Be prepared to talk about your performance--what you do well, how you could improve, what you would like to learn.

During the performance review:

- Listen to feedback from your supervisor and ask questions to clarify information. Share information from the self-evaluation.
- Offer suggestions and ideas for improving performance if needed.
- Identify areas for learning and development.
- Assess where supervisory support or improved resources could be of value. Identify obstacles to performance and suggest solutions.
- Sign the performance review form, attaching comments if desired.

After the performance review:

- Keep a copy of the performance review for future reference.
- Use the information gained in the performance review to build on strengths and improve areas for growth.

Pitfalls to Avoid in Performance Review

- Appraiser giving favorable ratings to all job duties based on impressive performance in just one job function.
- Downgrading an employee across all performance dimensions exclusively because of poor performance on one dimension.
- Developing a negative or positive opinion of an employee early in the review period and allowing that to negatively or positively influence all later perceptions of performance.
- Allowing performance, either good or bad, at the end of the review period to play too large a role in determining an employee's ratings for the entire period. This is one reason that it is important to keep up-to-date on progress notes and event logs.
- Consistently rating someone higher than is deserved. This tends to be the most typical pitfall. It should be very rare to see an employee who "Exceeds Expectations" on all of their goals and the job competencies.
- Rating someone consistently lower than is deserved.
- Giving better ratings to individuals who are like the rater in behavior and/or personality.
- Continuing to downgrade an employee for performance errors in prior rating periods.
- Failing to consider the impact and consequences of behavior; for example, though a small act may not have an impact, if it is a habit, repeated frequently, it may have a negative impact on performance. Another act, though only done once, may have a critical impact on performance.
- Keep documentation throughout the year, both on accomplishments and needs for improvement.
- Ask your employee to keep notes also.

- Allow enough time before the review meeting to think and reflect on the events of the past year.
- Ask others familiar with the person's work to add input (making sure your employee knows about this beforehand).
- Ask the employee to review his/her own performance as additional input to the discussion.

If an employee disagrees with the final appraisal, do not argue about the appraisal. The employee may state their reasons for the disagreement in writing within 10 calendar days of the performance review discussion. The written disagreement will be reviewed by the supervisor and the next level supervisor to determine if a change is warranted.

After the written disagreement has been reviewed, the supervisor may submit an addendum to the performance review. If there is no addendum, the written disagreement will be attached to the original performance review and placed in the employee's personnel file

Performance appraisal files are confidential personnel documents and must be kept in a secure file cabinet at all time.

APPENDICES

The following forms are provided for your use. Contact the Administrative Services Department for electronic copies if you prefer. The forms encompass the City's job competencies and reflect the philosophy of performance management.

- APPENDIX A: Supervisor's Performance Planning Worksheet
- APPENDIX B: SMART Goals Guidelines
- APPENDIX C: Employee Self-Evaluation Form
- APPENDIX D: Performance Review Form

Performance review forms will be developed for each department and/or work unit as appropriate to reflect essential behaviors that demonstrate competencies for operational objectives.

APPENDIX A

City of Sebastopol
Supervisor's Performance Planning Worksheet

Employee:_____ **Date:** _____

Job Title: _____

Step 1: Determine Essential Duties and Responsibilities

List all essential duties and responsibilities from class specification.

Step 2: Identify Key Standards of Performance

List the most important duties and goals of this job (see job description for samples). Attach additional sheets, if needed. For each item, identify standards of performance based on at least one of the following criteria:

Performance Competencies

1. Job Knowledge
2. Quality of Work
3. Quantity of Work
4. Adaptability
5. Attendance and Punctuality
6. Dependability
7. Communication
8. Customer Service
9. Teamwork
10. Representing the City
11. Initiative
12. Leadership
13. Management (specified job classes only)

Use the Performance Competencies--Behavioral Worksheet developed for your department or work unit to identify observable behavior that will show whether or not an employee is meeting standards.

Step 3: Identify Goals for Next Rating Period and Expectations/Measures

List at least three goals for this position in order of importance to be completed for the next rating period. While the supervisor will develop some draft goals to get the discussion moving, the supervisor and employee should work together to determine the goals and expectations (measures) for the next review period. Goals and expectations should be at the observable and measurable. Goals should be:

S Specific.....What will be accomplished? What actions will you take?
M Measurable ...What data will measure the goal? (How much? How many?)
A Achievable... Is the goal "doable"? Does the employee have the needed skills?
R Relevant..... How does the goal align with department goals?
T Time-Based...What is the time frame for accomplishing the goal?

Goal 1

Goal Title:	
Goal Description:	
Goal Measurement (either in quantity, quality, or results):	

Goal 2

Goal Title:	
Goal Description:	
Goal Measurement (either in quantity, quality, or results):	

Goal 3

Goal Title:	
Goal Description:	
Goal Measurement (either in quantity, quality, or results):	

You may add more goals if desired or appropriate for the specific job role. Once the goals are developed and agreed upon, make a copy of the plan for each of you; file the plan in your supervisory file to enter progress notes throughout the next rating period.

APPENDIX B

How to Set SMART Goals:
A Guide for Supervisors and Employees

What are SMART Goals?

- Statements of the important results you are working to accomplish
- Designed in a way to foster clear and mutual understanding of what constitutes expected levels of performance and successful professional development
- Include both Performance Goals and Development Goals
- Created using the SMART Method

What is the difference between Performance and Development Goals?

- Performance Goals are:
  - Appropriate to the level of the position
  - Related to job responsibilities and deliverables
  - Aligned to higher level goals
- Development Goals are:
  - Learning-oriented
  - Support both higher level performance in the employee's current job and career advancement

What is the SMART Method for setting individual goals?

S	**Specific**	What will be accomplished? What actions will you take?
M	**Measurable**	What data will measure the goal? (How much? How many? How well?)
A	**Achievable**	Is the goal doable? Do you have the necessary skills and resources?
R	**Relevant**	How does the goal align with broader goals? Why is the result important?
T	**Time-Based**	What is the time frame for accomplishing the goal?

SMART Goal Formula

Goal Statement	**What makes it SMART**
Do _____	**Specific** action taken
In order to _____	accomplish **Measurable**, **Relevant** result
By _____ _____	Within certain **Time** frame
	And make sure it's **Achievable**! (realistic time frame, sufficient resources, feasible target)

Agenda Item Number 3
(7-16-2019 CC Meeting) - Page 24 of 38

What are Action Plans and how do they help in developing and achieving SMART Goals?

- Action plans are the specific tasks or steps you will take to accomplish each goal.
- They help determine whether the end result and timeframe are achievable and the resources and support you will need to be successful.
- They provide a roadmap to monitor and a focus for employee/supervisor feedback and coaching.

How do I decide the right scope for my Performance Goals? (How big? How many?)

1. Performance goals are meant to address all of your major job responsibilities.

- Performance Goals are not limited to things you take on as extra credit above and beyond your day-to-day job. They are your day-to-day job.
- Start by thinking about your whole job and the broad areas (or "buckets") of responsibility and results for which you are accountable.
- Develop a performance goal statement for each bucket. To get the scope right, remember to focus on end results not tasks.
- Goals should be high level enough to encompass the core outcomes for which you are responsible, but specific and clear enough so you will be able to measure success.
- Performance goals include both ongoing program responsibilities and any new projects, assignments, priorities, or initiatives that are specific to this performance cycle.
- For most employees, the majority of their goals will articulate ongoing responsibilities and may not change much, if at all, from year to year.

2. In general, employees at higher levels of the organization have broader and more complex responsibilities and therefore more performance goals. However, even executive level employees should be able to capture their entire job in less than 10 goals.

- Having too many goals can be an indicator that your goals are scoped at too low a level and are focused more on tasks than on end results.
- Tasks are most appropriate in the action plans supporting each goal, not in the goal itself.
- If it seems that your goals are becoming too numerous and task-oriented, it may be helpful to consider combining several goal statements into a broader outcome area, with specific tasks listed in the action plan.

- If there are still too many goals, it could be that some need to be removed or postponed.
- Remember, goals are intended to focus attention and resources on what is most important so that you can be successful in achieving your priorities.
- Having too many goals can have the same effect as not having any goals at all.

3. The focus and level of your goals will be driven by your role and the way your job contributes to the relevant end results.

- Different employees within or across work units may each have a piece of a broader goal, contributing in ways that are consistent with their areas of responsibility and expertise.
- You may be ultimately responsible for an outcome to which others who report to you also contribute.
- The "S" (specific action) for your goal should reflect your role and contribution.
- The "S" also helps communicate whether a goal reflects an ongoing program responsibility or a new, time-specific assignment.
- "S" actions may include:

Oversee	Update	Write
Coordinate	Upgrade	Process
Supervise	Develop	Provide
Manage	Create	Maintain
Plan	Implement	Reconcile
Support	Evaluate	Dispatch
Direct	Transition	Produce
Administer	Establish	Generate

Note that this list does not include verbs like "improve," "reduce," or "increase" (e.g. "Improve customer service" or "reduce cost." These imply the direction that you want a result to move in, but don't do much to explain the role or specific action that you will take to accomplish this change.

What are some common measurement sources for SMART goals?

- As the "M" in SMART states, there should be a source of information to measure or determine whether a goal has been achieved.
- The M is a direct (or possibly indirect) indicator of what success for a particular goal will look like.

- Sometimes measurement is difficult and managers, supervisors and employees will need to work together to identify the most relevant and feasible data sources and collection methods.
- Data collection efforts needed to measure a goal can be included in that goal's action plan.
- Even if a perfect, direct measurement source is not immediately feasible for a given goal, the discussion about the desired end result (why this goal is important) and what the measurement options are (what success might look like) is an important and valuable part of performance planning.
- Measurement methods can be both quantitative and qualitative.
- Some typical data types and data collection methods may include:

Data Types

- Quality/accuracy rates
- Amounts produced
- Customer satisfaction
- Revenue generated
- Time saved
- Turn around times
- Audits, tests, inspections
- Productivity rates
- Costs reduced
- Stakeholder feedback (peers, direct reports, etc.)

Data Collection Methods

- Observation
- Automated reports
- Surveys (of customers and other stakeholders)
- Work products, samples
- Feedback logs
- Other documentation

Why are Development Goals important?

- Development goals focus on learning and learning is key to performance, both for the organization and the individual.
- Development goals are relevant for everyone, regardless of their responsibility level, tenure or long-term career aspirations.
- Development goals can help employees stay current, hone their skill sets and re-ignite their passion within an existing area of responsibility.
- They can also help employee develop a new set of skills and knowledge base in order to grow into a new area of responsibility.
- A commitment to employee development helps organizations recruit, retain and motivate successful and committed employees.

Examples of SMART Goals

Performance Goals - Ongoing

- Provide high quality customer service resulting in a 90% customer satisfaction rating from external customers on accuracy, timeliness and courtesy measures on an ongoing basis.
- On an ongoing basis, reconcile the department financial reports by the 15th of every month with no increase in reconciliation errors.
- On an ongoing basis, accurately process and dispatch 95% of high priority calls for police, fire and medical services.
- Manage the department budget to stay within appropriations and accomplish 85% of service results by the end of the fiscal year.
- Coach and support my direct reports resulting in attainment of 85% of all performance plan goals.

New Project/Performance Cycle-Specific

- Reduce overtime in the department from 150 hours per month to 50 hours per month by the end of the fiscal year with no increase in incident reports.
- Develop a quality improvement process for the sanitary sewer system that reduces the failure rate to 1% by 12/31/11.
- Create a partnership with at least 5 local cities to deliver two compliance-related training workshops resulting in $____ improvement in Net County Cost by 6/30/11.
- By 11/30/11, update the employee handbook to include a searchable intranet version that employees find easy to use and informative.

Development Goals

- By June 30, 2011, develop and apply upgraded computer skills that enable me to produce budget reconciliation reports each month in a timely and accurate fashion.
- Develop and practice my coaching skills so that my direct reports report that they feel more satisfied with their work and able to perform at a higher level; and such that I achieve a 30/70 split between coaching and doing by June 30, 2011.
- By June 30, 2011, complete course work and attain a credential to enhance my skills as an effective leader as measured by feedback from my supervisor and the accomplishment of my performance plan goals.

APPENDIX C
City of Sebastopol
Employee Self-Evaluation Form

Employee:_____ **Date:** _____

Job Title: _____

Step 1: Determine Essential Duties and Responsibilities

List all essential duties and responsibilities from your class specification.

Comment on your performance on each of the essential job duties and responsibilities. In addition, reflect on the past year. Be prepared to discuss specific accomplishments, challenges, and support that you need from your supervisor, for example, training, resources, or coaching. What will help you develop or maintain the following competencies?

Performance Competencies

1. Job Knowledge
2. Quality of Work
3. Quantity of Work
4. Adaptability
5. Attendance and Punctuality
6. Dependability
7. Communication
8. Customer Service
9. Teamwork
10. Representing the City
11. Initiative
12. Leadership
13. Management (specified job classes only)

Use the Performance Competencies--Behavioral Worksheet developed for your department or work unit to identify your own behavior relative to standards.

Step 2: Review Your Accomplishments

Review your progress and accomplishments with regard to all the goals that you and your supervisor agreed on at your last performance planning meeting (may have been at last performance review).

Which goals did you accomplish? How well?

Which goals did you not accomplish, and why not?

What goals are important for you to achieve during the next rating period? Please be clear and concise.

Which other objectives did you meet, beyond your stated goals?

Which achievements/accomplishments are you most proud of?

Step 3: Review Your Needs

Take some time to think about what you want and need from the City to support your success.

What part(s) of your job do you find satisfying?

What part(s) of your job would you like to change?

What areas of training and/or career development do you think would be beneficial for you to do your job?

What can your manager/supervisor do to help you achieve your future goals and meet expectations?

Additional Comments:

Please give this self-evaluation to your supervisor at least three days before your review meeting date.

Supervisor's Notes

Use this worksheet to prepare for and make notes of your discussion

Employee name_____

Supervisor name_____Meeting date_____

Agenda Item Number 3
(7-16-2019 CC Meeting) - Page 31 of 38

APPENDIX D

Performance Review

Employee:	Department:
Classification:	
Rating Period:	
Type of Review: ☐ Annual ☐ End of Probation ☐ Other	
Performance Improvement Plan Attached: ☐ Yes ☐ No ☐ N/A	
End of Probation Evaluations Only - Recommend Pass Probation: ☐ Yes ☐ No	

OVERALL PERFORMANCE RATING		
Exceeds Standards Individual gives valuable service to the organization and/or public; such performance consistently exceeds what is reasonably expected in this job classification.	**Meets Standard** Individual demonstrates that essential job responsibilities are fully performed as expected from an employee.	**Does Not Meet Standards** Individual does not consistently meet job responsibilities.
☐	☐	☐

Supervisor Date

Department Manager Date

Director of Finance Date

City Manager or Designee Date

I hereby certify that I have received this performance evaluation. I understand that my signature does not necessarily mean that I agree with all the ratings or comments.

Employee Date

PERFORMANCE FACTORS

1. **JOB KNOWLEDGE** is the information concerning essential duties and applicable rules, regulations, laws or policies which an employee should know.		
Exceeds Standards	Meets Standards	Does Not Meet Standards
Has well-rounded knowledge in all phases of the job. Has exceptional ability in some areas. Readily answers all questions related to the job. Understands organizational responsibilities. Supervised as needed.	Has knowledge of duties and essential functions to do the job. Able to answer most common questions relating to the job. Requires appropriate amount of supervision.	Demonstrates significant gaps in knowledge of duties and essential functions or does not demonstrate sustainable performance. Requires ongoing, direct supervision.
☐	☐	☐
Comments:		

2. **QUALITY** is the accuracy, neatness and thoroughness of the work performed.		
Exceeds Standards	Meets Standards	Does Not Meet Standards
Work quality often exceeds expectations. Work is consistently well planned and executed in an efficient and timely manner. Work is submitted or completed on time or at times in advance of deadlines.	Work is complete and thorough in accuracy and detail. Completed and submitted in a timely fashion to meet deadlines. Works independently in activities that are customary to position's responsibilities.	Work is frequently unacceptable and/or not completed in a timely manner.
☐	☐	☐
Comments:		

3. **QUANTITY** is the amount of work an employee does in a work week.		
Exceeds Standards	Meets Standards	Does Not Meet Standards
Highly productive in multiple work assignments without compromising the quality of work. May seek out more work assignments and all tasks are complete at or ahead of deadlines. This may include special projects.	Amount of work meets all requirements. Completes regular work assignments on time and meets deadlines.	Quantity of work is often less than expected of an employee in the position. Assignments may often be late and/or incomplete. Requires supervision in areas where work should be done independently.
☐	☐	☐
Comments:		

4. **ADAPTABILITY** is the ability to learn and meet changing conditions.		
Exceeds Standards	Meets Standards	Does Not Meet Standards
Adapts to changes in the work environment. Manages competing demands. Accepts criticism and feedback. Changes approach or method to best fit the situation.	Deals effectively with unusual conditions and changes in work assignments. Willing to consider alternative ways to do things. Remains open and objective with most issues. Learns new procedures within a reasonable time frame.	Often resists changes in procedures or work assignments. Frequently has difficulty in learning or adopting new procedures.
☐	☐	☐
Comments:		

5. **ATTENDANCE AND PUNCTUALITY** is observance of scheduled hours on a regular basis and arrival on time.	
Meets Standards	Does Not Meet Standards
Reports "ready to work" on time and leaves as scheduled. Works late, if needed. Provides adequate notice to supervisor when absent due to illness or emergency. Observes appropriate time usage for lunch and breaks. Schedules time off in consideration of other staff.	May request time off without concern for effect on others staff or work demands. May not give adequate notice when requesting time off or calling in sick. May be frequently tardy at the start of day or to meetings. May frequently leave work early or absent during mid-day.
☐	☐
Comments:	

6. **DEPENDABILITY** is the ability to keep commitments and to complete work assignments in a reliable manner.		
Exceeds Standards	Meets Standards	Does Not Meet Standards
Demonstrates a high level of responsibility in assuming and successfully completing assignments. Follows instructions and responds to management direction. Provides prompt follow-up when needed. Delivers on promises.	Can be relied upon to complete work assignments in a timely and efficient manner.	Employee often fails to thoroughly follow through on job, often requiring direct supervision.
☐	☐	☐
Comments:		

7. **COMMUNICATIONS** is the ability to present well thought-out ideas and responses both in written and oral format. This includes effective listening skills .		
Exceeds Standards	Meets Standards	Does Not Meet Standards
Communicates in a timely, clear and well-organized manner. If appropriate to classification, maintains thorough and accurate written records in all necessary areas. Effectively communicates upward, downward, and laterally. Presents oral reports in an effective and informative manner. May demonstrate ability to communicate assertively without causing negative reactions. May have ability to effectively translate complex information into user-friendly terms.	Communicates in a clear and concise manner, both orally and in writing appropriate to the classification. Demonstrates good judgment in selecting the proper mode of communications. If appropriate to classification, ensures correct grammar and spelling in written documents.	Struggles to effectively communicate either orally or in writing. Does not actively listen. May have oral or written skills below the expected standard for the classification. Communicates in a manner that does not convey a favorable image of the department and/or the City.
☐	☐	☐
Comments:		

8. **CUSTOMER SERVICE** is building and maintaining positive and ethical relationships with the public as well as internal customers.		
Exceeds Standards	Meets Standards	Does Not Meet Standards
Consistently leaves a very positive impression with the public and/or internal customers. Communicates in a manner which promotes growth of positive relationships between the City and the public or internal customers.	Deals positively with the public and/or internal customers. Communicates in person, on the phone, and with e-mail in a prompt, courteous and effective manner.	Has difficulties dealing with the public or internal customers. Does not consistently represent the City in a positive manner.
☐	☐	☐
Comments:		

9. TEAMWORK is building and maintaining positive working relationships with fellow employees.		
Exceeds Standards	Meets Standards	Does Not Meet Standards
Makes an extra effort to cooperate and assist fellow employees. Attempts to solve problems before they arise. Is motivated and promotes team building. Consistently contributes in a positive manner to the team.	Contributes to the overall effectiveness of the team. Works cooperatively and deals with all employees in a respectful manner.	Frequently has difficulty in dealing with fellow employees. Is not particularly effective or motivating as a team member. Shows negativity and an unwillingness to work as a team member.
☐	☐	☐
Comments:		

10. REPRESENTING THE CITY		
Exceeds Standards	Meets Standards	Does Not Meet Standards
Exemplifies public service. Projects and sustains the good reputation of the City and co-workers at all times. Upholds City code of ethics, policies, municipal codes and federal and state laws. Respects the individual, honors the public trust, and provides open and honest communication.	Complies with rules, regulations, and policies. Displays honesty, integrity, and exhibits ethical behavior. Responds to public inquiries quickly and appropriately. Dresses appropriately for position.	Delays response to emergency or urgent calls. Denigrates the City in public discussion. May be inconsistent in upholding City's policies and procedures. May demonstrate inability to consistently treat others with respect.
☐	☐	☐
Comments:		

11. INITIATIVE is demonstrating a strong interest in the job, recognizing and pursuing new responsibilities or enhancing existing responsibilities.		
Exceeds Standards	Meets Standards	Does Not Meet Standards
Demonstrates self-starting abilities and shows a great interest in doing the job better. Initiates needed projects and takes on additional responsibilities. Sets high and appropriate goals, striving always to reach them. Requires little direct supervision.	Takes initiative to carry through on job duties and assignments with a positive attitude and minimal supervision. Undertakes job related self-development activities. Shows interest in doing work well. Takes advantage of opportunities.	Fails to accomplish assigned tasks and/or needs constant, direct supervision. May not take on new tasks or show initiative.
☐	☐	☐
Comments:		

12. LEADERSHIP is the ability to use good judgment and influence to resolve situations that produce positive outcomes.		
Exceeds Standards	Meets Standards	Does Not Meet Standards
Advanced ability to assess situations and to make logical decisions. Frequently develops workable alternative solutions and encourages consensus. Clearly defines problems and solutions. Uses good judgment when taking action.	Usually makes accurate assessment of situations. Contributes ideas for alternative solutions and/or improvements. Remains objective when solving problems.	Frequently avoids dealing with problems. Rarely shows ability to develop alternate solutions. Has difficulty with problem solving process and reaching consensus.
☐	☐	☐
Comments:		

13. MANAGEMENT is managing financial, material, and human resources to achieve successful outcomes and work products. (For managers only)		
Exceeds Standards	Meets Standards	Does Not Meet Standards
Creates a collaborative team atmosphere and encourages creativity and innovation. Keeps management fully informed of a project's progress and produces results. Ability to handle multiple priorities within a project and/or multiple projects. Holds team members accountable to achieve department goals. Strives to accomplish desired results in a cost effective manner. Manages financial, technical, and material resources to streamline the work process; shows an awareness of the budget process, purchasing regulations and process necessary to ensure appropriate funding levels. Ability to keep area of responsibility within or under budget.	Demonstrates ability to prepare solid project proposals. Establishes clear project goals and objectives for self and team members, if applicable. Ability to plan, organize and complete projects in the shortest, most efficient manner. Shows appropriate level of awareness of the budget process and exercises effective cost control. Strives to ensure that area of responsibility stays within budget. Minimizes the necessity of overtime in area of responsibility whenever possible.	Inability to create a functional team or meet project deadlines. Unable to provide appropriate level of supervision to the team and/or project. Does not demonstrate appropriate level of awareness of the budget or the budget process. Consistently is not able to exercise effective cost control in area of responsibility.
☐	☐	☐
Comments:		

GOALS
Rating Period Goals
Please note if goals are met

Next Rating Period Goals
Please consider adding professional growth goals which may include training or education

OVERALL PERFORMANCE COMMENTS