

INSTRUCTIONS FOR USING PERFORMANCE EVALUATION SYSTEM

1. PURPOSE: The performance evaluation system is used to evaluate employees past work performance, develop a work plan for the next review period, determine what resources are needed for improving performance to become more effective. Evaluations also develop employees potential through training and counseling. The process is designed to be interactive between the employee and the supervisor with the following objectives in mind:

- a) Use to recognize and reward employees for positive work behavior. Use the results as a basis for appropriate personnel actions.
- b) Encourage employees to continuously improve, support team endeavors, develop professionally, and perform at their maximum potential.
- c) Communicate and clarify the goals and objectives of the division, department, and the City in relation to the employee's work expectations.
- d) Involve employees in improving their effectiveness and performance.
- e) Provide an employee improvement plan where performance is rated below standard.

2. PERFORMANCE EVALUATION SYSTEM: The performance evaluation form is used for all performance reviews. This includes probationary evaluations (except Police and Fire have their own process), annual evaluations, and special evaluations for regular full time and regular part time employees. The evaluation periods are generally twelve months, except for special evaluations, which may be for shorter periods of time. **Merit step increases are conducted on the employee's anniversary date (assuming satisfactory performance) and not during the annual performance review.**

3. SUPERVISOR RESPONSIBILITY: Each Department will conduct employee evaluations for all employees in the Department during the same month. Human Resources will notify Department Heads 30 days prior to when evaluations are due. Each supervisor completing the performance evaluation should review the following instructions, the rating criteria definitions, and familiarize themselves with the procedure prior to completing the evaluations.

Upon completion of the evaluation form by the supervisor (rater) and the reviewer (one level above the rater), then the rater will meet with the employee to review the ratings, discuss each rating and submit the completed form for signatures. Supervisors should provide written comments on the evaluation form for each performance criteria and list specific examples. Use N/A if the rating criteria is not applicable.

The Supervisor is responsible for completing the evaluation process at the beginning of the rating period and again at 6 months to monitor progress and adjust time lines if necessary. At that time, a new 12 month work plan is established with the employee and the process repeats itself. Supervisors shall coordinate the discussion of performance evaluations with employees in a manner that allows privacy. The supervisor shall have the employee to complete the Self Performance Evaluation Form as a discussion tool. However, the final ratings on the Performance Evaluation Form are those of the supervisor after discussion with the employee.

4. FORMS: There two performance evaluation forms you will always use (a and b):

- a) The actual Performance Evaluation form which includes the cover page called the

Summary Worksheet, and

b) The **Employee Self-Evaluation** form.

There are two other forms you may need to use:

c) The **Performance Improvement Plan** form (used when a rating is #1 Unacceptable or #2 Improvement Needed), and attached to Performance Evaluation form.

d) **Performance Goals** form (used by department to follow up mid-year on goals set in evaluation), optional and not returned to Human Resources.

5. RATING PROCESS AND CRITERIA:

5 = outstanding performance

4 = exceeds expectations

3 = meets expectations

2 = needs improvement

1 = unacceptable

A rating of 1 or 2 requires the supervisor to complete a Performance Improvement Plan form to document the problem, including specific examples, guidance on improvement, a specific time table for improvement, and a follow up evaluation to monitor progress.

6. SIGNATURES ON THE EVALUATION FORM: After the supervisor completes the performance evaluation with the employee, both the supervisor and employee sign the form. The next level of review is the Reviewer, one level above the supervisor performing the evaluation (the rater). Depending on the Department structure, the reviewer could be the Department Head, Deputy Director, or a Division Manager. The mid-year review will only involve the employee and his/her supervisor with their signatures and the mid-year process does not go into the personnel file.

7. EVALUATION WHEN A NEW SUPERVISOR IS APPOINTED: If the employee has an evaluation due, and a new supervisor is appointed, the new supervisor likely has not had the opportunity to properly evaluate the employee's performance. In this instance the new supervisor will evaluate the employee after 90 days. If possible, the supervisor that is leaving will do a close out evaluation for his/her employees prior to leaving.

Steps to Complete the Annual Performance Evaluation Procedures

Step 1: Notice to Department Heads: Human Resources will notify department heads 30 days prior to when performance evaluations are due for full-time and part-time regular employees in their department. Managers/supervisors have 30 days to complete the performance evaluations, obtain signatures, and provide the original to the Human Resources Office for filing in the employees personnel file. The supervisor shall also retain a computer copy/file copy for the mid-year review process. Human Resources will remind supervisors to schedule probationary evaluations on their calendar.

Step 2: Blank Performance Evaluation Forms: Managers/Supervisors obtain the performance evaluation forms off the G-drive (G:\hr\performa.wpd). First, please read instructions under "evalinst" and definitions under "evaldef". Then open the performance evaluation folder, click on "performance evaluation form" and "save as" with a new name to your own personal

computer folder (do not type onto blank form in G drive). Next, open the “employee self evaluation” form and print to give to employee.

Step 3: Review Job Description: Review the employees job description to see if any changes are necessary. If there are increased responsibilities/scope of work or a change in qualifications, forward your edits to Human Resources for review. Minor differences in work load or added assignments that are industry or technology changes do not require a change to the job description. (Individual employees do not amend their job descriptions, this task is for the manager.)

Step 4: Self Evaluation Form: Provide a copy of the **Self Evaluation Form** to the employee. If the employee does not want to complete the form, he/she shall check the box and sign at the bottom of the form and return it to the supervisor. This completed form is used as a tool for discussion while the supervisor is completing the employee’s evaluation (In all cases the employee shall sign the form.)

Step 5: Complete the Performance Evaluation Rating Forms: The Manager/Supervisor completes each section in Performance Evaluation form (pages 2 to 3 plus). If a section does not apply note N/A for not applicable. Written comments are required and should include examples that support the rating for the specific job element. Sections 1-3 (technical knowledge, customer service and quality/quantity of work) apply to all positions. For Section 4 (Attendance), the supervisor should review the employee attendance record, scheduled time away from the job and the use of breaks. Section 5 (Safety and Risk Management) applies to all jobs and should include notice of any accidents, injuries, equipment usage or other safety related issues. Section 6 is only for department heads, managers, supervisors, and lead-workers.

Next, complete the section **Work Plan** for the next rating period including completion dates. This lists achievable goals and projects as well as areas to improve upon. Next, complete the **Training and Development** section. The rater then completes the summary worksheet cover page for the evaluation form. This is done last and is an **overall rating** considering all the rating factors.

The **Performance Goals** form (optional based on Department Head discussion) is a departmental tool used during the mid-year review to monitor progress, completion dates, or make comments concerning the goals. Keep goals to a realistic number (3-5) and ones that are achievable. We all have a tendency to put down more goals that we can reasonably achieve. Also, some employees in entry-level jobs may have only one or two goals or a training course to complete during the review period. The supervisor should use their judgment and discussion with the employee to arrive at goals for the work plan.

Step 6: “Unacceptable” or “Improvement Needed” Ratings: If you rate an employee with a “1” Unacceptable or “2” Improvement Needed, you must complete the **Performance Improvement Plan** form. Have this completed form reviewed by the department head and Human Resources prior to presenting it to the employee. This form is used to document performance and behavior problems that need corrective action and that may lead to possible disciplinary action. Documentation is critical for this type of rating.

Note: in the event the employee does not improve, the documentation is important for corrective action. The notice of “Improvement Needed” or “Unacceptable” rating must include:

- a) The problem areas of performance that are determined to be unacceptable.
- b) Identify performance standards that must be achieved to meet acceptable standards.
- c) Provide a reasonable period of time to demonstrate improved performance.
- d) Provide assistance to the employee to help them achieve the performance standards (training, counseling and coaching, closer supervision, feedback).
- e) Communicate with employee of the consequences if their performance does not improve and provide a deadline, such as 30-90 days for a follow up review. However, this time line does not preclude immediate disciplinary action at any time by the department head if the employee’s performance worsens during the rating period.
- f) A rating of #2 or #1 shall be reviewed and approved by the department head before being communicated to the employee.

Note: Any disciplinary action considered by the department beyond a written reprimand must first be discussed with the Human Resources Manager and the City Attorney.

Step 7: Mid-Year Review: Mid-point through the 12-month rating period, the manager or supervisor will meet with the employee to review his/her progress. This does not require any new information to be prepared, merely review their performance, goals, and deadlines with the employee. At this step, you may adjust the deadlines as necessary.