

ADMINISTRATION & REGULATORY AFFAIRS DEPARTMENT

| | | | |
|--------------------|---------------------------------------|------------------------|------------------------|
| Subject: | Performance Management Process | No. | ARA- 115.00R |
| | | Effective Date: | January 1, 2009 |
| Issue Date: | January 1, 2009 | Revision No.: | 1 |

I. POLICY STATEMENT

It is the policy of the Administration and Regulatory Affairs Department (ARA) to provide a performance management process that will contribute to the success of organizational goals and individual benchmarks.

II. POLICY BASIS

The basis of this policy is Section 14 of the Houston Code of Ordinances.

III. SCOPE

This policy applies to all employees reporting to the Director of Administration & Regulatory Affairs Department (ARA), including Executive Level employees. Part-time, seasonal, and temporary employees may be included or excluded from this policy, at the discretion of the Director. This policy supersedes all former department policies, procedures and directives.

IV. PROCEDURES

4.1 Employee Performance Success Plan - managers shall communicate expectations, standards and goals to employees through the development of an Employee Performance Success Plan. The employee's plan shall be prepared on the prescribed form (attachment I) and forwarded to the Reviewing Authority for signature. The plan should be linked to organizational priorities and developed consistent with job duties, competencies and requirements contained in the employee's job description. (For Executive Level Performance Success Plan – use attachment II)

Please note: a copy of the plan and job description shall be given to new employees within 30 calendar days from the date they are on board.

Managers should work to obtain mutual agreement with employees when setting the goals. Goals developed should be specific, measurable, attainable, and relevant to the work performed, and time-based.

Goals may be carried over, revised, added, or deleted during the review period as necessary. All parties shall initial by any changes to acknowledge the revisions.

4.2 Employee Performance Evaluation - managers shall monitor and document employee's performance against expectations, goals, and behaviors established. Counsel and encourage employees to maintain high performance standards and address opportunities for improvement.

The employee's performance evaluation shall be prepared on the prescribed form (attachment III) and forward to the Reviewing Authority for signature. (For Executive Level Performance Evaluation – use attachment IV)

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Input from multi-raters, self-evaluations or 360 degree feedback surveys may be used to develop the performance evaluation. However, one person must be the designated "supervisor of record". Normally, this is the person who conducts the formal review discussion.

4.3 Reviews - schedule the performance review discussion with employees.

Annual reviews for non-management employees shall be completed by the end of April. Annual reviews for management employees shall be completed by the end of May.

Please note: new employees shall receive a 5th month and 11th month performance review during their probationary period.

A face-to face, private discussion shall be conducted with the employee and supervisor that highlights accomplishments and identifies opportunities for improvement. Other management representatives may be presented during the discussion if appropriate.

The review session is to provide feedback on performance and obtain employee signature acknowledgement of receipt on the prescribed evaluation form. The employee's acknowledgement does not necessarily indicate agreement with the evaluation.

If the employee refuses to sign the acknowledgement of receipt, have a witness initial by your written notation that employee refused to sign.

An employee may request additional time to review the evaluation and/or submit a written response, as an attachment. A 48 hour time frame may be granted to allow the employee reasonable time to review and/or respond in writing.

The supervisor shall provide the employee with a copy of the final evaluation (plus attachment, if any).

The original evaluation (plus attachment, if any) shall be forwarded to the Administrative Services Division for scanning into the employee's departmental file and then forwarded to the Human Resources Department for inclusion into the employee's permanent personnel file.

4.4 Unscheduled Reviews – may occur at any time deemed appropriate by the department. An unscheduled review may be conducted anytime there is a change in supervisor, job classification, work location, section or department, or when the employee is not performing to standards.

An employee who receives an overall performance evaluation of a rating below 3.00 shall be given another review within 90 calendar days to determine the performance

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status. The employee shall be notified in writing of the expectations required and plan of action that will be followed (attachment V).

If the subsequent overall performance evaluation has not improved to a rating of 3.00 or higher, the employee will be recommended for disciplinary action up to and including indefinite suspension.

- 4.5 Appeal Process – a civil service protected employee may appeal a review through the City’s formal grievance procedure within thirty calendar days from the date of signature on the prescribed form, if the overall performance rating is below 3.00.

Evaluations which are under appeal do not become a part of the employee’s personnel file until the appeal process has been completed.

V. ATTACHMENTS

Attached to this policy is:

- Attachment I Employee Performance Success Plan
- Attachment II Executive Performance Success Plan
- Attachment III Employee Performance Evaluation Form
- Attachment IV Executive Performance Evaluation Form
- Attachment V Employee Notification Memo – Low Performance Evaluation

| | | |
|--|--|-----------------------------------|
| Approved:  | Date Approved: January 1, 2009 | Policy No.: ARA- 609.01 |
|--|--|-----------------------------------|



EMPLOYEE PERFORMANCE SUCCESS PLAN

| | | | |
|----------------------|-----------------------------|----------------------|------------------------|
| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD | DISCUSSION DATE |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

INSTRUCTIONS: Managers should work to get mutual agreement with employees when setting goals, commitments, and standards. Goals developed should be tied to the Balanced Scorecards and be specific, measurable, attainable, relevant to the work performed, and time-based.

GOALS/COMMITMENTS/STANDARDS

VALUES

| | |
|--|--|
| GOAL 1. Please adjust goals to equal 100%. Currently it is 0. WEIGHT: ___ % | CUSTOMER No excuse service Customer-centric culture Commitment to Quality Urgency & Speed |
|--|--|

TARGET:

ACTUAL:

BUSINESS MEASURES:

| | |
|--|---|
| GOAL 2. Please adjust goals to equal 100%. Currently it is 0. WEIGHT: ___ % | PROCESS Smarter work processes Performance-driven Management tools Challenge people's imaginations |
|--|---|

TARGET:

ACTUAL:

BUSINESS MEASURES:

| | |
|--|--|
| GOAL 3. Please adjust goals to equal 100%. Currently it is 0. WEIGHT: ___ % | EMPLOYEE Pride in job well done Respected experts Learning culture Making a difference in People's lives |
|--|--|

TARGET:



EMPLOYEE PERFORMANCE SUCCESS PLAN

| | | | |
|----------------------|-----------------------------|----------------------|------------------------|
| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD | DISCUSSION DATE |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

ACKNOWLEDGEMENT: The Employee Performance Success Plan (EPSP) establishes the performance measures that will determine your contribution to the organization as distinguished from the City of Houston job description that identifies typical job duties assigned. Your next performance evaluation will be based on the measures described above and the behavioral attributes essential for successful performance in this job. The EPSP is a communication tool for improving employee success, may be modified at any time, and is not a requirement before receiving a performance evaluation. Your signature below indicates you have received a copy of this document and your current job description.

| | | | |
|----------------------|-------------------|------------------|-------------|
| Employee Name | Employee # | Signature | Date |
|----------------------|-------------------|------------------|-------------|

| | | | |
|---------------------|-------------------|--------------------|-------------|
| Manager Name | Employee # | Signature * | Date |
|---------------------|-------------------|--------------------|-------------|

| | | | |
|---------------------------------|-------------------|--------------------|-------------|
| Reviewing Authority Name | Employee # | Signature * | Date |
|---------------------------------|-------------------|--------------------|-------------|

** This document should be reviewed and approved by proper levels of authority before it is presented to the employee .*



EXECUTIVE PERFORMANCE SUCCESS PLAN

| | | | |
|----------------------|-----------------------------|----------------------|------------------------|
| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD | DISCUSSION DATE |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

ACTUAL:

BUSINESS MEASURES:

| | |
|--------------------------------------|--|
| GOAL 4. WEIGHT: ____ % | BUSINESS Minimize expenses Maximize revenue Balanced risks and results |
|--------------------------------------|--|

TARGET:

ACTUAL:

BUSINESS MEASURES:

| | |
|--------------------------------------|--|
| GOAL 5. WEIGHT: ____ % | |
|--------------------------------------|--|

TARGET:

ACTUAL:

BUSINESS MEASURES:



EXECUTIVE PERFORMANCE SUCCESS PLAN

| | | | |
|----------------------|-----------------------------|----------------------|------------------------|
| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD | DISCUSSION DATE |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

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| | | | |
|----------------------|-------------------|------------------|-------------|
| Employee Name | Employee # | Signature | Date |
|----------------------|-------------------|------------------|-------------|

| | | | |
|---------------------|-------------------|--------------------|-------------|
| Manager Name | Employee # | Signature * | Date |
|---------------------|-------------------|--------------------|-------------|

| | | | |
|---------------------------------|-------------------|--------------------|-------------|
| Reviewing Authority Name | Employee # | Signature * | Date |
|---------------------------------|-------------------|--------------------|-------------|

** This document should be reviewed and approved by proper levels of authority before it is presented to the employee .*



EMPLOYEE PERFORMANCE EVALUATION

| | | | |
|-----------------|------------------------|----------------------|------------------------|
| NAME | EMPLOYEE NUMBER | REVIEW PERIOD | DISCUSSION DATE |
| POSITION | JOB CODE | DIVISION | |

OVERALL RATING DEFINITIONS

| | | |
|-----------------------|---|--|
| Substantially Exceeds | 5 | Performance makes an extraordinary contribution deserving special recognition. All standard job criteria are consistently met and the majority of performance consistently exceeds expectations. |
| Exceeds | 4 | Performance frequently exceeds expectations. Most job standard criteria are met and exceeded. Work performance has surpassed expectations. |
| Meets | 3 | Performance is achieved in a satisfactory manner; some areas exceed expectations. Overall performance reflects ongoing achievements and improvements. |
| Needs Improvement | 2 | Performance frequently falls below job standards. Demonstrates a need for improvement, training and self-effort. |
| Does Not Meet | 1 | Performance is unacceptable, and the employee's job may be in jeopardy. |

INSTRUCTIONS FOR COMPLETING THE PERFORMANCE EVALUATION

1. When discussing the evaluation with the employee, the communication should be two-way. The manager should use this opportunity to convey the assessment of the employee's work while encouraging the employee's feedback in return. This is a mentorship opportunity for positive and constructive feedback.
2. This review should only be discussed with the employee after it has been reviewed and approved by the proper levels of authority.
3. A Substantially Exceeds, Needs improvement, or Does Not Meet overall rating must be fully documented with specific examples on the last page of the evaluation or a separate page.
4. Managers should only include goals, commitments, and standards that have been communicated to the employee. It should not be a surprise to the employee.

OVERALL APPRAISAL REPORT VALUES

| | |
|-----------------------|--------------|
| Substantially Exceeds | 4.40 - 5.00 |
| Exceeds | 3.70 - 4.39 |
| Meets | 3.00 - 3.69 |
| Needs Improvement | 2.00 - 2.99 |
| Does Not Meet | 1.99 or less |



EMPLOYEE PERFORMANCE EVALUATION

| | | | |
|----------------------|-----------------------------|------------------------------------|--------------------------------------|
| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

STEP I: INSERT GOALS

What was contributed by employee to organizational success or Balanced Scorecard measures, targets, values?

Insert agreed upon goals, targets and weights. Discuss the rating and constructive feedback.

| | | | | | |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| GOAL 1. WEIGHT: _____ % | Does Not Meet | Improvement Needs | Meets | Exceeds | Substantially Exceeds |
| | <input type="checkbox"/> |

Please adjust weight distribution to equal 100. Currently it is 0

TARGET:

CONSTRUCTIVE FEEDBACK:

| | | | | | |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| GOAL 2. WEIGHT: _____ % | Does Not Meet | Improvement Needs | Meets | Exceeds | Substantially Exceeds |
| | <input type="checkbox"/> |

Please adjust weight distribution to equal 100. Currently it is 0

TARGET:

CONSTRUCTIVE FEEDBACK:

| | | | | | |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| GOAL 3. Total Weight Under 100% WEIGHT: _____ % | Does Not Meet | Improvement Needs | Meets | Exceeds | Substantially Exceeds |
| | <input type="checkbox"/> |

Please adjust weight distribution to equal 100. Currently it is 0

TARGET:



EMPLOYEE PERFORMANCE EVALUATION

| | | | |
|----------------------|-----------------------------|------------------------------------|--------------------------------------|
| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

CONSTRUCTIVE FEEDBACK:

GOAL 4:

| | | | | | |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Total Weight Under 100% WEIGHT: ____ % | Does Not Meet | Improvement Needs | Meets | Exceeds | Substantially Exceeds |
| | <input type="checkbox"/> |

Please adjust weight distribution to equal 100. Currently it is 0

TARGET:

CONSTRUCTIVE FEEDBACK:

GOAL 5:

| | | | | | |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Total Weight Under 100% WEIGHT: ____ % | Does Not Meet | Improvement Needs | Meets | Exceeds | Substantially Exceeds |
| | <input type="checkbox"/> |

Please adjust weight distribution to equal 100. Currently it is 0

TARGET:

CONSTRUCTIVE FEEDBACK:

RATING OF SUMMARY GOALS: 0.00



EMPLOYEE PERFORMANCE EVALUATION

| | | | |
|----------------------|-----------------------------|------------------------------------|--------------------------------------|
| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

STEP II: BEHAVIORAL FACTORS

How did the employee contribute to organizational success?

Insert agreed upon weights. Discuss the rating and constructive feedback.

| | | | | | |
|---|---------------|-------------------|-------|---------|-----------------------|
| 1. DRIVE FOR RESULTS: Gets the job done. WEIGHT: _____ % | Does Not Meet | Needs Improvement | Meets | Exceeds | Substantially Exceeds |
|---|---------------|-------------------|-------|---------|-----------------------|

Please adjust your weight distribution to equal 100. It is currently at 0

- | | | | | | |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Accepts responsibility for accomplishing goals within agreed upon boundaries. | <input type="checkbox"/> |
| Meets productivity standards. | <input type="checkbox"/> |
| Completes work in timely manner. | <input type="checkbox"/> |
| Strives to increase productivity. | <input type="checkbox"/> |
| Works quickly and accurately. | <input type="checkbox"/> |
| Demonstrates adaptability and flexibility in getting the job done. | <input type="checkbox"/> |
| Achieves established goals. | <input type="checkbox"/> |
| Values working with team members who have different perspectives and background. | <input type="checkbox"/> |
| Stays the course to achieve agreed upon objectives. | <input type="checkbox"/> |

RATING FOR DRIVE FOR RESULTS: 0.00

CONSTRUCTIVE FEEDBACK:

| | | | | | |
|---|---------------|-------------------|-------|---------|-----------------------|
| 2. CUSTOMER SERVICE: Creates a "customer service" environment. Total Weight Under 100% WEIGHT: _____ % | Does Not Meet | Needs Improvement | Meets | Exceeds | Substantially Exceeds |
|---|---------------|-------------------|-------|---------|-----------------------|



EMPLOYEE PERFORMANCE EVALUATION

| | | | |
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| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

Please adjust your weight distribution to equal 100. It is currently at 0

- Treats customers with courtesy, respect and sensitivity. Is helpful and demonstrates customer value with each encounter.
- Responds promptly to customer needs and requests. Returns calls and/or emails to customers in a timely manner.
- Resolves customer complaints with speed and effectiveness.
- Manages difficult or emotional customer situations.
- Solicits customer feedback to improve service.
- Demonstrates passion for knowing and meeting customers' requirements and anticipating needs.

RATING FOR CUSTOMER SERVICE: 0.00

CONSTRUCTIVE FEEDBACK:

3. JOB/TECHNICAL KNOWLEDGE: Leverages job/technical knowledge and expertise. WEIGHT: ____%

| | | | | | |
|--|---------------|-------------------|-------|---------|-----------------------|
| | Does Not Meet | Needs Improvement | Meets | Exceeds | Substantially Exceeds |
|--|---------------|-------------------|-------|---------|-----------------------|

Please adjust your weight distribution to equal 100. It is currently at 0

- Shows high competency in required job skills and knowledge. Pursues training and development opportunities to keep up-to-date and advance job knowledge, skills and abilities.
- Takes responsibility and accountability for the job; "owns" the job "goes the extra mile", "self-starter".
- Work is consistently careful, complete and thorough, eliminating the need for close review, even during high pressure periods. Makes effective decisions and overcomes obstacles to meet objectives. Requires minimal supervision.
- Recognizes job priorities and understands how job relates to organizational objectives and aligns work accordingly.
- Organizes work to make the job more efficient and effective, achieving maximum productivity.
- Handles multiple activities simultaneously, as necessary.



EMPLOYEE PERFORMANCE EVALUATION

| | | | |
|----------------------|-----------------------------|------------------------------------|--------------------------------------|
| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

Adapts to current developments in profession or area of expertise and new technologies.

Shares expertise with others and uses resources effectively.

Corrects errors and/or questions inconsistencies in assignments. Applies lessons learned from successes as well as failures to improve future results.

RATING FOR JOB/TECHNICAL KNOWLEGE: 0.00

CONSTRUCTIVE FEEDBACK:

| | | | | | | |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| 4. PROBLEM SOLVING: Applies knowledge to finding the best solutions. WEIGHT: _____ % | Does Not Meet | Improvement | Needs | Meets | Exceeds | Substantially Exceeds |
| | <input type="checkbox"/> |

Please adjust your weight distribution to equal 100. It is currently at 0

Identifies problems and brings to supervisor's attention in a timely manner.

Gathers and analyzes information skillfully.

Develops alternative solutions to resolve a problem.

Resolves problems in early stages.

Works well in group problem solving situations.

Shows tenacity in securing and using resources to resolve problems and achieve desired results.

RATING FOR PROBLEM SOLVING: 0.00

CONSTRUCTIVE FEEDBACK:



EMPLOYEE PERFORMANCE EVALUATION

| | | | |
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| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

| | | | | | |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| 5. JUDGMENT: Takes appropriate action in the face of challenge. WEIGHT: _____ % | Does Not Meet | Improvement Needs | Meets | Exceeds | Substantially Exceeds |
| | <input type="checkbox"/> |

Please adjust your weight distribution to equal 100. It is currently at **0**

- Demonstrates independent judgment and self-confidence, even in stressful situations.
- Displays willingness to make decisions.
- Exhibits sound and accurate judgment.
- Supports and explains reasoning for decisions.
- Includes appropriate people in decision making process.
- Makes timely decisions.
- Takes reasoned risks.
- Questions the status quo.

RATING FOR JUDGMENT: 0.00

CONSTRUCTIVE FEEDBACK:

| | | | | | |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| 6. PLANNING & ORGANIZATION: Sees beyond the details using systemic thinking. WEIGHT: _____ % | Does Not Meet | Improvement Needs | Meets | Exceeds | Substantially Exceeds |
| | <input type="checkbox"/> |

Please adjust your weight distribution to equal 100. It is currently at **0**

- Prioritize and plans work activities.
- Uses time efficiently.
- Plans for additional resources.



EMPLOYEE PERFORMANCE EVALUATION

| | | | |
|----------------------|-----------------------------|------------------------------------|--------------------------------------|
| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

- Works in organized manner.
- Identify and plan for improvements and efficiencies in work duties, procedures, and priorities.
- Adapts strategy quickly to changing conditions and priorities.
- Develops plans to accomplish goals.

RATING FOR PLANNING & ORGANIZATION: 0.00

CONSTRUCTIVE FEEDBACK:

7. COMMUNICATIONS: Exchanges information and ideas that impact and influence others.

WEIGHT: _____ %

| | | | | | |
|--|---------------|-------------------|-------|---------|-----------------------|
| | Does Not Meet | Needs Improvement | Meets | Exceeds | Substantially Exceeds |
|--|---------------|-------------------|-------|---------|-----------------------|

Please adjust your weight distribution to equal 100. It is currently at 0

- Oral communication is clear, concise, organized; demonstrates business appropriate language skills.
- Written communication is clear, concise, organized; demonstrates business appropriate language skills.
- Exhibits effective listening skills; does not interrupt others; allows others to express opinions.
- Consistently comprehends and accurately interprets oral/written communications; skilled at soliciting and clarifying information to ensure understanding.
- Clearly and concisely communicates necessary information to appropriate people in a timely manner to keep others adequately informed.
- Refrains from unproductive chatter, rumors, or gossip.
- Demonstrates sensitivity to language and cultural communication requirements.

RATING FOR COMMUNICATIONS: 0.00

CONSTRUCTIVE FEEDBACK:



EMPLOYEE PERFORMANCE EVALUATION

| | | | |
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| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
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8. TEAMWORK: Collaborates to achieve results.

WEIGHT: ____ %

| | | | | |
|---------------|-------------------|-------|---------|-----------------------|
| Does Not Meet | Needs Improvement | Meets | Exceeds | Substantially Exceeds |
|---------------|-------------------|-------|---------|-----------------------|

Please adjust your weight distribution to equal 100. It is currently at 0

- Enthusiastically volunteers for assignments. Proactively contributes to the success of the assignment and/or team.
- Makes a positive contribution to morale, promotes easy exchange of information with others.
- Gives and welcomes feedback.
- Exhibits objectivity and openness to others' views. Respects diversity, builds valued working relationships and is a team player.
- Contributes to building a positive team spirit.
- Puts success of team above own interests.
- Commits to and values working with team members.

RATING FOR TEAMWORK: 0.00

CONSTRUCTIVE FEEDBACK:

9. ATTENDANCE: Is available when needed.

Total Weight Under 100% WEIGHT: ____ %

| | | | | |
|---------------|-------------------|-------|---------|-----------------------|
| Does Not Meet | Needs Improvement | Meets | Exceeds | Substantially Exceeds |
|---------------|-------------------|-------|---------|-----------------------|

Please adjust your weight distribution to equal 100. It is currently at 0

- Reports to work on time, as scheduled.
- Attends meetings and training on time.
- Keeps absences within guidelines. When taking time away from work, adheres to policies, including completing applicable forms and submitting them on time.



EMPLOYEE PERFORMANCE EVALUATION

| | | | |
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| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

Notifies supervisor of absences in advance.

Ensures work responsibilities are covered when absent.

RATING FOR ATTENDANCE: 0.00

CONSTRUCTIVE FEEDBACK:

RATING SUMMARY OF STEP II BEHAVIORAL FACTORS: 0.00



EMPLOYEE PERFORMANCE EVALUATION

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| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
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SUPERVISOR/MANAGER BEHAVIORAL FACTORS

How did the supervisor/manager contribute to organizational success?

Insert agreed upon weights. Discuss the rating and constructive feedback.

| | | | | | |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| SUPERVISORY/MANAGEMENT FACTORS: Complete if in a lead, supervisory or manager capacity. WEIGHT: _____ % | Does Not Meet | Improvement Needs | Meets | Exceeds | Substantially Exceeds |
| | <input type="checkbox"/> |

Please adjust your weight distribution to equal 100. It is currently at 0

| | | | | | |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Provides direction and communicates goals consistent with the Balanced Score Cards and Benchmark Plans. | <input type="checkbox"/> |
| Clearly defines employee's responsibilities and performance expectations. | <input type="checkbox"/> |
| Provides regular performance feedback and follows policies for evaluating staff on a timely basis. | <input type="checkbox"/> |
| Holds team members accountable for deliverables. | <input type="checkbox"/> |
| Provides staff with the tools, knowledge, and opportunities needed to develop themselves and become more effective in their roles consistent with Benchmark Plans. | <input type="checkbox"/> |
| Treats employees with respect and shows sensitivity for cultural differences. | <input type="checkbox"/> |
| Treats staff complaints or problems with sensitivity and immediacy to minimize impact. | <input type="checkbox"/> |
| Promotes a harassment-free environment. | <input type="checkbox"/> |
| Promotes safety and security. Reports accidents and unsafe conditions. | <input type="checkbox"/> |
| Understands business implications of decisions. | <input type="checkbox"/> |
| Possess financial acumen commiserate with role in organization. Maintains budget, expenditures, monthly financial reports, variances, etc. | <input type="checkbox"/> |
| Develops, implements and monitors standard operating procedures that are aligned with organizational goals. | <input type="checkbox"/> |
| Develops "best practice" procedures and implements new departmental strategies effectively. | <input type="checkbox"/> |
| Dedicated to representing the organization in a positive light, upholding organizational values, achieving organizational objectives and acting in its best interest. | <input type="checkbox"/> |



EMPLOYEE PERFORMANCE EVALUATION

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| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

RATING FOR SUPERVISORY/MANAGEMENT: 0.00

RATING SUMMARY OF SUPERVISOR/MANAGER BEHAVIORAL FACTORS: 0.00



EMPLOYEE PERFORMANCE EVALUATION

| | | | |
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| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

STEP III: INSERT BENCHMARK LEARNING PLAN/TRAINING REQUIREMENTS

What training, education and professional certification skills are required?

Insert specific benchmark learning/training requirements and provide advice/feedback on professional development

| Description | Date Acquired |
|-------------|---------------|
| 1. | |
| 2. | |
| 3. | |
| 4. | |

STEP IV: OVERALL APPRAISAL FEEDBACK

Manager Comments: Provide overall summary of employee's performance. Include evidence of specific examples of behaviors for overall rating of "Substantially Exceeds," "Needs Improvement," or "Does not Meet."

| |
|------------------------------|
| Areas of Strength: |
| Areas of Improvement: |

Employee Comments: *Provide Response Below.*

| |
|--|
| |
|--|

OVERALL APPRAISAL RATING: 0.00
Your Score is:

Manager's Printed Name, Employee # & Signature Date

Next Authority Level's Printed Name & Signature Date

Employee's Acknowledgment & Comments

I certify that I had the opportunity to write comments on this review and that it has been discussed with me. If I am a Civil Service protected employee, I understand that I may appeal this review through the City's formal grievance procedure within thirty calendar days from the date of my signature, if my rating is less than a 3.00, "Meets" standards.

Employee's Signature Date



EXECUTIVE PERFORMANCE EVALUATION

| | | | |
|-----------------|------------------------|----------------------|------------------------|
| NAME | EMPLOYEE NUMBER | REVIEW PERIOD | DISCUSSION DATE |
| POSITION | JOB CODE | DIVISION | |

OVERALL RATING DEFINITIONS

| | | |
|-----------------------|---|--|
| Substantially Exceeds | 5 | Performance makes an extraordinary contribution deserving special recognition. All standard job criteria are consistently met and the majority of performance consistently exceeds expectations. |
| Exceeds | 4 | Performance frequently exceeds expectations. Most job standard criteria are met and exceeded. Work performance has surpassed expectations. |
| Meets | 3 | Performance is achieved in a satisfactory manner; some areas exceed expectations. Overall performance reflects ongoing achievements and improvements. |
| Needs Improvement | 2 | Performance frequently falls below job standards. Demonstrates a need for improvement, training and self-effort. |
| Does Not Meet | 1 | Performance is unacceptable, and the employee's job may be in jeopardy. |

INSTRUCTIONS FOR COMPLETING THE PERFORMANCE EVALUATION

1. When discussing the evaluation with the employee, the communication should be two-way. The manager should use this opportunity to convey the assessment of the employee's work while encouraging the employee's feedback in return. This is a mentorship opportunity for positive and constructive feedback.
2. This review should only be discussed with the employee after it has been reviewed and approved by the proper levels of authority.
3. A Substantially Exceeds, Needs improvement, or Does Not Meet overall rating must be fully documented with specific examples on the last page of the evaluation or a separate page.
4. Managers should only include goals, commitments, and standards that have been communicated to the employee. It should not be a surprise to the employee.

OVERALL APPRAISAL REPORT VALUES

| | |
|-----------------------|--------------|
| Substantially Exceeds | 4.40 - 5.00 |
| Exceeds | 3.70 - 4.39 |
| Meets | 3.00 - 3.69 |
| Needs Improvement | 2.00 - 2.99 |
| Does Not Meet | 1.99 or less |



EXECUTIVE PERFORMANCE EVALUATION

| | | | |
|----------------------|-----------------------------|------------------------------------|--------------------------------------|
| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

STEP I: INSERT GOALS

What was contributed by employee to organizational success or Balanced Scorecard measures, targets, values?

Insert agreed upon goals, targets and weights. Discuss the rating and constructive feedback.

| | | | | | |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| GOAL 1. Goal Weight Under 100% WEIGHT: _____ % | Does Not Meet | Needs Improvement | Meets | Exceeds | Substantially Exceeds |
| | <input type="checkbox"/> |

Please adjust weight distribution to equal 100. Currently it is 0

TARGET:

CONSTRUCTIVE FEEDBACK:

| | | | | | |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| GOAL 2. Goal Weight Under 100% WEIGHT: _____ % | Does Not Meet | Needs Improvement | Meets | Exceeds | Substantially Exceeds |
| | <input type="checkbox"/> |

Please adjust weight distribution to equal 100. Currently it is 0

TARGET:

CONSTRUCTIVE FEEDBACK:



EXECUTIVE PERFORMANCE EVALUATION

| | | | |
|---------------|----------------------|-----------------------------|-------------------------------|
| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
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GOAL 3.

Total Weight Under 100% WEIGHT: _____ %

| | | | | |
|---------------|-------------------|-------|---------|-----------------------|
| Does Not Meet | Improvement Needs | Meets | Exceeds | Substantially Exceeds |
|---------------|-------------------|-------|---------|-----------------------|

Please adjust weight distribution to equal 100. Currently it is 0

TARGET:

CONSTRUCTIVE FEEDBACK:

GOAL 4.

Total Weight Under 100% WEIGHT: _____ %

| | | | | |
|---------------|-------------------|-------|---------|-----------------------|
| Does Not Meet | Improvement Needs | Meets | Exceeds | Substantially Exceeds |
|---------------|-------------------|-------|---------|-----------------------|

Please adjust weight distribution to equal 100. Currently it is 0

TARGET:

CONSTRUCTIVE FEEDBACK:

GOAL 5.

Total Weight Under 100% WEIGHT: _____ %

| | | | | |
|---------------|-------------------|-------|---------|-----------------------|
| Does Not Meet | Improvement Needs | Meets | Exceeds | Substantially Exceeds |
|---------------|-------------------|-------|---------|-----------------------|

Please adjust weight distribution to equal 100. Currently it is 0

TARGET:

CONSTRUCTIVE FEEDBACK:

RATING OF SUMMARY GOALS: 0.00



EXECUTIVE PERFORMANCE EVALUATION

| | | | | | | | |
|---|-----------------|---|------------------------|------------|----------------------|------------|------------------------|
| 0 | NAME | 0 | EMPLOYEE NUMBER | 01/00/1900 | REVIEW PERIOD | 01/00/1900 | DISCUSSION DATE |
| 0 | POSITION | 0 | JOB CODE | 0 | DIVISION | | |

STEP II: BEHAVIORAL FACTORS

How did the employee contribute to organizational success?

Insert agreed upon weights. Discuss the rating and constructive feedback.

| | | | | | | |
|---|-----------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| 1. LEADERSHIP: Measures executive's ability to get others to follow. Inspires excellence in others by leading through example. Builds trust among others, maintains integrity, communicates well defined vision, and takes effective action. | WEIGHT: ____ % | Does Not Meet | Needs Improvement | Meets | Exceeds | Substantially Exceeds |
| | | <input type="checkbox"/> |

Please adjust your weight distribution to equal 100. It is currently at 0

| | | | | | |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Communicates and promotes the organization's vision and mission. Ensures process, systems, and policies support the vision and mission. | <input type="checkbox"/> |
| Creates a clear and compelling vision. Acts in accordance with the vision. | <input type="checkbox"/> |
| Available and willing to assistance with obstacles encountered by team. | <input type="checkbox"/> |
| Shows courage to take action. Put success of team above own interests. | <input type="checkbox"/> |
| Mobilizes others to fulfill the vision. Motivates others to perform well. | <input type="checkbox"/> |
| Inspires the trust of others. Treats people with respect. | <input type="checkbox"/> |
| Works with integrity and ethnically. Upholds organizational values. | <input type="checkbox"/> |

RATING FOR LEADERSHIP: 0.00

CONSTRUCTIVE FEEDBACK:

| | | | | | | |
|---|-----------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| 2. PERFORMANCE MANAGEMENT: Measures executive's ability to perform as expected. Delivers expected results that are consistent with mission, vision, and values of organization. Is results-oriented. Obtains customer feedback on outputs, tracks own performance along the dimensions established in the goals, feeds back performance information, identifies and corrects deficiencies, and resets goals to reflect the current customer requirements and internal constraints. | WEIGHT: ____ % | Does Not Meet | Needs Improvement | Meets | Exceeds | Substantially Exceeds |
| | | <input type="checkbox"/> |

Please adjust your weight distribution to equal 100. It is currently at 0

| | | | | | |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Sets and achieves challenging goals. Commits to doing the best job possible. | <input type="checkbox"/> |
| Recognizes and acts on opportunities. | <input type="checkbox"/> |



EXECUTIVE PERFORMANCE EVALUATION

| | | | |
|----------------------|-----------------------------|------------------------------------|--------------------------------------|
| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

- Promotes customer focus. Develops new approaches to meeting customer needs.
- Takes responsibility for own actions.
- Generally willing to change plans or work extra hours to get the job done.
- Aligns work with strategic goals.
- Keeps commitments. Can be counted on to meet deadlines consistently. Provides advance notice and make arrangements for absences.

RATING FOR PERFORMANCE MANAGEMENT: 0.00

CONSTRUCTIVE FEEDBACK:

3. GOAL MANAGEMENT: Measures executive's ability to manage employee performance. Achieves establish performance goals for work units by effectively managing team members. Creates functional sub-goals that support the achievement of the overall goals thereby making the expected contribution and avoid sub-optimization.

WEIGHT: _____ %

Does Not Meet

Improvement
Needs

Meets

Exceeds

Substantially
Exceeds

Please adjust your weight distribution to equal 100. It is current at 0

- Motivates for increased results by giving performance feedback and recognizing contributions.
- Ensures progress towards goals and supports group problem solving.
- Adheres to performance management policies and guidelines by providing regular feedback, using strategies to elevate performance, and removes underperformers in a timely manner.
- Works well in group problem solving situations.
- Holds team members accountable for organizational scorecard, measures, targets, goals and deliverables.
- Develop strategies to achieve organizational goals.

RATING FOR GOAL MANAGEMENT: 0.00

CONSTRUCTIVE FEEDBACK:



EXECUTIVE PERFORMANCE EVALUATION

| | | | | | | | |
|---|-----------------|---|------------------------|------------|----------------------|------------|------------------------|
| 0 | NAME | 0 | EMPLOYEE NUMBER | 01/00/1900 | REVIEW PERIOD | 01/00/1900 | DISCUSSION DATE |
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4. RESOURCE MANAGEMENT: Measures executive ability to manage resources. Balances the allocation of people, equipment, and budget across the system in order to achieve goals and make the expected contribution to the overall performance of the organization.

Total Weight Under 100% **WEIGHT:** ____ %

| | | | | | |
|---------------|-------------|-------|-------|---------|-----------------------|
| Does Not Meet | Improvement | Needs | Meets | Exceeds | Substantially Exceeds |
|---------------|-------------|-------|-------|---------|-----------------------|

Please adjust your weight distribution to equal 100. It is currently at **0**

- Selects talented people for each role; the best—not simply the best available.
- Prioritizes and plans work activities using time efficiently.
- Measures key outcomes and looks for ways to improve and promote quality.
- Improves processes and services delivered.
- Conserves organizational resources by working within approved budget.
- Develops and implements cost saving measures. Conducts cost-benefit analysis.
- Builds a diverse workforce.

RATING FOR RESOURCE MANAGEMENT: 0.00

CONSTRUCTIVE FEEDBACK:

5. CHANGE MANAGEMENT: Measure's executive's ability to manage change. Initiates business transformation processes, aligns business objectives with individual employee objectives, and adjusts to new conditions quickly. Controls and effects changes.

Total Weight Under 100% **WEIGHT:** ____ %

| | | | | | |
|---------------|-------------|-------|-------|---------|-----------------------|
| Does Not Meet | Improvement | Needs | Meets | Exceeds | Substantially Exceeds |
|---------------|-------------|-------|-------|---------|-----------------------|

Please adjust your weight distribution to equal 100. It is currently at **0**

- Develops workable implementation plans and communicates the change effectively.
- Builds commitment and overcomes resistance to change by preparing those affected.
- Performs well and remains calm under pressure.



EXECUTIVE PERFORMANCE EVALUATION

| | | | |
|----------------------|-----------------------------|------------------------------------|--------------------------------------|
| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
| POSITION 0 | JOB CODE 0 | DIVISION 0 | |

- Monitors transition and evaluates results.
- Adapts quickly to changing priorities, focus. Adapts strategy to changing conditions.
- Adapts quickly to changes in standard procedures and work duties.

RATING FOR CHANGE MANAGEMENT: 0.00

CONSTRUCTIVE FEEDBACK:

6. INTERFACE MANAGEMENT: Measures executive's ability to building relationships. Ensures the "white space" between functions is managed, resolves functional "turf" conflicts and establishes infrastructures to support the collaboration that results in efficient effective internal customer-provider relationships.

WEIGHT: ___ %

Does Not Meet

Improvement Needs

Meets

Exceeds

Substantially Exceeds

Please adjust your weight distribution to equal 100. It is currently at 0

- Uses negotiation skills to resolve conflicts. Works well in group problem solving situations.
- Treats staff, partner, and customer complaints with sensitivity and immediacy to minimize impact to other team members.
- Encourages open communications.
- Is able to confront difficult situations.
- Displays ability to influence key decision-making. Achieves win-win outcomes.
- Shows respect and sensitivity to cultural differences. Promotes a harassment free-environment.
- Selects and uses appropriate communication methods. Keeps others adequately informed. Refrains from unproductive chatter, rumors, or gossip.
- Monitors customer satisfaction and develops new approaches to meeting customer needs.
- Resolves problems in early stages and develops alternative solutions.
- Listens to customers without losing focus on organization goals, values and policies.

RATING FOR INTERFACE MANAGEMENT: 0.00



EXECUTIVE PERFORMANCE EVALUATION

| | | | | | | | |
|---|-----------------|---|------------------------|------------|----------------------|------------|------------------------|
| 0 | NAME | 0 | EMPLOYEE NUMBER | 01/00/1900 | REVIEW PERIOD | 01/00/1900 | DISCUSSION DATE |
| 0 | POSITION | 0 | JOB CODE | 0 | DIVISION | | |

CONSTRUCTIVE FEEDBACK:

7. KNOWLEDGE MANAGEMENT: Measures executive's ability to keep skills and training current. Ensures own technical skills and training meet requirements of organization and reflects the best practices of discipline, profession, or area of expertise. Understands the business environment and environmental forces affecting the business.

WEIGHT: _____ %

| | | | | |
|---------------|----------------------|-------|---------|--------------------------|
| Does Not Meet | Improvement Needs | Meets | Exceeds | Substantially Exceeds |
|---------------|----------------------|-------|---------|--------------------------|

Please adjust your weight distribution to equal 100. It is currently at **0**

| | | | | | |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Strives to continuously build knowledge and skills. Pursues training and development opportunities. | <input type="checkbox"/> |
| Competency in required job skills and knowledge. | <input type="checkbox"/> |
| Keeps abreast of current developments in profession or area of expertise. | <input type="checkbox"/> |
| Display understanding of how job relates to organizational objectives. | <input type="checkbox"/> |
| Synthesizes complex or diverse information. Able to design workflow and procedures. | <input type="checkbox"/> |
| Adapts to new technologies. Keeps technical skills up-to-date. | <input type="checkbox"/> |
| Shares expertise with others. | <input type="checkbox"/> |

RATING FOR KNOWLEDGE MANAGEMENT: 0.00

CONSTRUCTIVE FEEDBACK:

RATING SUMMARY OF BEHAVIOR FACTORS: 0.00



EXECUTIVE PERFORMANCE EVALUATION

| | | | |
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| NAME 0 | EMPLOYEE NUMBER 0 | REVIEW PERIOD 01/00/1900 | DISCUSSION DATE 01/00/1900 |
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STEP III: INSERT BENCHMARK LEARNING PLAN/TRAINING REQUIREMENTS

What training, education and professional certification skills are required?

Insert specific benchmark learning/training requirements and provide advice/feedback on professional development

| Description | Date Acquired |
|-------------|---------------|
| 1. | |
| 2. | |
| 3. | |
| 4. | |

STEP IV: OVERALL APPRAISAL FEEDBACK

Manager Comments: Provide overall summary of employee's performance. Include evidence of specific examples of behaviors for overall rating of "Substantially Exceeds," "Needs Improvement," or "Does not Meet."

| |
|------------------------------|
| Areas of Strength: |
| Areas of Improvement: |

Employee Comments: Provide Response Below.

| |
|--|
| |
|--|

OVERALL APPRAISAL RATING: 0.00
Your Score is:

Manager's Printed Name, Employee # & Signature Date

Next Authority Level's Printed Name & Signature Date

Employee's Acknowledgment & Comments

I certify that I had the opportunity to write comments on this review and that it has been discussed with me. If I am a Civil Service protected employee, I understand that I may appeal this review through the City's formal grievance procedure within thirty calendar days from the date of my signature, if my rating is less than a 3.00, "Meets" standards.

Employee's Signature Date



Administration &
Regulatory Affairs

Memorandum

To:

From:

Date:

Subject: Low Employee Performance Evaluation

This memo is to notify you that, in compliance with departmental policy number, ARA-115.00R (attached), you will be scheduled for another employee performance evaluation within 90 days. Since you received a rating below "Meets" on your last review dated _____, your performance will be re-evaluated and you will be given the opportunity to improve.

If your subsequent employee performance evaluation has not improved to at least a "Meets" rating, you will be recommended for disciplinary action up to and including indefinite suspension. To assist you in improving your performance...(insert the plan of action that will be followed, i.e., frequency of meetings, who can assist, etc.).

I acknowledge that this memo has been discussed with me and that I have received a copy. I understand that I will be evaluated again in 90 days. I also understand that I must improve my evaluation to "Meets" by that review or face disciplinary action up to and including indefinite suspension.

Employee's Signature

Date

Witness

