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**CONCORD ASSOCIATED PROFESSIONAL EMPLOYEES (CAPE)  
EMPLOYEE PERFORMANCE PLANNING, REVIEW, AND EVALUATION**

**1. PURPOSE**

To describe procedures for preparing an Employee Performance Evaluation; for reviewing and evaluating an employee's accomplishments, development, and progress in meeting the requirements of the key performance areas; and for preparing the performance evaluation for the next reporting period.

**2. DEFINITIONS**

- 2.1 **Performance Planning** - A joint development effort by the supervisor and employee in preparing the performance evaluation worksheets to achieve effective work performance and employee development.
- 2.2 **Key Performance Areas** - The performance evaluation form consists of four Key Performance Areas: Mission, Vision, and Values (MVV) Competencies, Professional Employee Competencies, Primary Job Duties, and Projects and Goals. The employee performance evaluation form utilizes these four key performance areas by asking the supervisor to rate how the employee has applied these areas in accomplishing the essential functions of their position, attaining goals and meeting expectations.
- 2.3 **Performance Review** - Discussion by the supervisor and employee of the performance evaluation, key performance areas and the results achieved.
- 2.4 **Performance Evaluation** - Employee performance evaluations are intended as a means of measuring individual performance, developing performance goals, fostering professional development and career growth, aiding in the determination of merit increases, and meeting the internal and external demands for documentation of individual performance. This evaluation system is designed as an ongoing process. The evaluation form is prepared at the beginning of the rating period, collaboratively between the supervisor and the employee, and monitored for significant changes in job responsibilities and employee development goals during the rating period. At the end of the rating period it is used to assess and document the employee's performance.

**3. PROCEDURES**

**3.1 Performance Planning**

- 3.11 At the beginning of each evaluation period, employee and supervisor review the employee's key performance areas, management's performance expectations, and estab-

lish job-related goals, objectives and employee development for the evaluation period. The specific elements of the planning process should include the following:

- 3.111 Supervisor reviews previous employee performance evaluation, key performance areas, i.e., mission, vision and values competencies, professional employee competencies, primary job duties, and projects and goals.
  - 3.112 Projects and goals for the next evaluation period are established. Management's expectations are defined.
  - 3.113 Reach an understanding of primary job duties and responsibilities, the priorities placed on each, and how they fit into unit/department's projected program objectives and outcomes.
  - 3.114 Determine specific training needed to help the employee meet job requirements and any additional opportunities to provide employee development. Document this in the Projects and Goals section
  - 3.115 Reach an understanding on how the employee's accomplishments will be measured at the end of the time period.
  - 3.116 Allow for modifications in response to changing conditions.
- 3.12 A written summary should be made of any planned actions, timing, and commitments agreed upon, with copies for the supervisor and employee. This record will be utilized when conducting the performance review.

## 3.2 **Informal Progress Meetings**

Supervisor and employee should meet periodically throughout the year to discuss and reassess the employee's progress towards achieving goals and objectives and meeting management's performance expectations or need for possible modification.

## 3.3 **Performance Review**

- 3.31 Reviews should be held as frequently as needed or as often as conditions change, but no longer than annually. Give employee at least three (3) days' notice before review is held.
- 3.32 Supervisor and employee review the Performance Evaluation, the results achieved, specific successes or failures, progress on developmental goals, modify or reestablish work projects and goals for the next period, modify primary job duties, revise employee development goals as needed, discuss any additional questions or comments, and set a time for the next review period.

## 3.4 **Performance Evaluation**

- 3.41 Evaluate the employee's accomplishments, development, and progress in meeting the requirements of the performance evaluation key performance areas by completing the Employee Performance Evaluation (see attachment A for guidelines).

- 3.42 The performance evaluation overall ratings will fall into one of five categories: Outstanding, Exceeds Requirements, Achieves Requirements, Needs Improvement, and Unacceptable. Any employee who receives an overall “Needs Improvement” or “Unacceptable” rating will not be considered for any merit or length of service step advancement until an overall “Achieves Requirements” rating is established. Where an employee receives an overall rating of “Unacceptable” on two consecutive occasions, disciplinary action may be taken by the appointing authority. .
- 3.43 Follow-up reports concerning the performance of any employee who has received a “Needs Improvement” or “Unacceptable” rating shall be prepared at three-month intervals. If, in the opinion of the appointing authority, the employee improves to the extent that the restoration of any merit step advancement previously withheld is justified, the appointing authority shall so recommend to the City Manager. Upon approval of the City Manager, such restoration shall be made and shall be effective on the beginning date of a subsequent pay period as specified in the recommendation of the appointing authority.

## ATTACHMENT A

**EMPLOYEE PERFORMANCE EVALUATION FORM GUIDELINES**

Following are guidelines for the Employee Performance Evaluation administrative process and for completing the evaluation form. The evaluation should summarize performance that has occurred throughout the evaluation period.

**1. PERFORMANCE EVALUATION OVERVIEW**

The performance evaluation form has four overall performance ratings: Organizational Mission, Vision, and Values (MVV) Competencies, Professional Employee Competencies, Primary Job Duties, and Projects and Goals. The employee performance evaluation form utilizes these four key performance areas by asking the supervisor to rate how the employee has applied these areas in accomplishing the essential functions of their position, attaining goals and meeting expectations.

This employee performance evaluation system is designed as an ongoing process. The evaluation form is prepared at the beginning of the rating period, collaboratively between the supervisor and the employee, and monitored for significant changes in job responsibilities and employee development goals during the rating period. At the end of the rating period it is used to assess and document the employee's performance.

**1.2 Evaluation Schedule.** Employees will receive a performance evaluation no less than annually, except when transitioning from the annual anniversary date schedule to a department evaluation schedule. Employees transitioning from anniversary date to a department schedule may receive their next evaluation in as short a period as six months but no longer than eighteen months.

1.21 Those employees who are not on the top step of their classification salary range will be evaluated annually using the annual anniversary due date of their last evaluation, until they reach the top step of the range.

1.22 Employees on the top step of their salary range may be evaluated on an annual basis according to the department's Employee Performance Evaluation schedule, which is at the department head's discretion.

1.23 Probationary employees will receive an evaluation in the fifth month of their six-month probationary period to determine eligibility for permanent status, which may be extended at the discretion of the supervisor. Those employees hired on Step B or higher will receive a second evaluation in the eleventh month to determine eligibility to the next higher salary step. Employees hired at Step A will be evaluated annually using the due date of their last evaluation.

**1.3 Transfer or Promotions.** When an employee is transferred or promoted during the rating period the performance evaluation needs to be considered. If the employee is being moved from one manager to another, the losing manager shall complete an evaluation on the employee. The gaining manager then prepares a new performance evaluation form. In the event an employee is transferred or promoted within the same department, the determination to complete an evaluation and prepare a new form shall be at the discretion of the department head.

- 1.31 Factors to consider will be a change in supervisor and/or significant changes in job responsibilities. At a minimum, the employee evaluation shall be reviewed and revised to reflect the new classification and/or job responsibilities.
- 1.32 Evaluation schedule will adhere to procedure as described in Section 1.2, above. Promotions requiring a probation period will adhere to Section 1.3, above.
- 1.4 **Performance Evaluation Notification.** The supervisor will be notified when an employee performance evaluation is due at the beginning of the month prior to the date in which the report is due, with a courtesy copy sent to the department head.
- 1.5 **Program Monitoring and Accountability.** The Human Resources (HR) Department will monitor the process flow for the Employee Performance Evaluation program. HR shall be accountable for notifying supervisors and department heads when reports are due. Department heads and managers shall be accountable for the completion of employee performance evaluation reports and submitting them to HR before or on the date due. HR shall monitor the due dates and status of evaluation reports and report the number of evaluations submitted on time annually. At the close of the fiscal year, HR will generate a report for the City Manager and department heads that will detail this status by department and manager. The results of this report shall be acknowledged in the Staff Development section of the department heads' and managers' Annual Performance Audits.

## 2. OVERALL PERFORMANCE RATING

The Overall Performance Rating is calculated by summing the product of the individual key performance ratings by the weightings assigned to each performance area (MVV 25%, Professional Employee Competencies 30%, Primary Job Duties 35%, Projects and Goals 10%). The overall performance score will fall into one of the five Overall Performance Ratings below:

- Outstanding
- Exceeds Requirements
- Achieves Requirements
- Needs Improvement - This rating requires a follow-up performance evaluation in three months.
- Unacceptable - This rating requires a follow-up performance evaluation in three months.

## 3. KEY PERFORMANCE AREA OVERALL RATING

There are four key performance areas, which provide an opportunity for the supervisor to rate the employee in four specific performance categories. The four key performance areas are valued as follows:

- Mission, Vision, and Values Competencies – 25% Weight
- Professional Employee Competencies - 30% Weight
- Primary Job Duties – 35% Weight
- Projects and Goal – 10% Weight

#### 4. COMPLETING THE PERFORMANCE EVALUATION FORM

The Performance Evaluation form is a MS Word template available on the City's LAN system. To set up the evaluation form, open the MS Word application, go to the "File" option and then "New." Choose the "More" tab and then select the "City-HR" tab. The file name is EPE-CAPE.dot.

- 4.1 **Accessing Template.** The file will open to a dialog box where you will find a dropdown menu to choose the job classification title for the position in which you are creating the evaluation. Once chosen, the job classification will automatically be inserted in the evaluation form
- 4.2 **Employee Information.** Complete the section that includes employee information, employee status, evaluation type, and probationary report interval. The working title block can be used to distinguish those employees assigned to different duties under the same classification specification.
- 4.3 **Prepare Evaluation Form for Next Review.** At the beginning of the rating period the supervisor and the employee will discuss and identify the primary job duties and projects & goals the employee will be evaluated on. The discussion should include how the performance descriptions apply to the employee and their role in the department and City, what the distinctions are around the possible ratings, and develop an understanding of the expectations required for individual performance areas and ratings. At the end of the discussion, the supervisor will print a copy of the evaluation form for the employee and retain the electronic document for completion at the end of the rating period.
  - 4.31 **Primary Job Duties.** Using the position's job classification, review the duties section. Identify at least three (maximum ten) duties that the employee will be evaluated on that will assess the employee's job duties and responsibilities. *Note, if the job classification specification needs to be revised, contact the HR Department and follow the procedures for revision before preparing the evaluation form.*
  - 4.32 **Projects and Goals.** In this section, identify at least 3 but no more than 10 projects and goals that the employee will be evaluated on at the end of the evaluation period. A goal or special project is a part of the job that an individual does in addition to meeting the primary job duties of his/her position. These may include (but are not limited to) employee development/training (i.e. GOAL training, other training and/or certification programs), opportunities for improvement, special "one-time" project and active committee participation.
- 4.4 **Completing the Evaluation Form at the end of Rating Period.** The supervisor will complete the MVV Competencies, Professional Employee Competencies and Primary Job Duties by choosing the rating that best describes the employee's performance for each competency. Comments and examples are encouraged in all noted areas. Ratings of "always", "rarely", "greatly exceeds" and "does not meet" **require** feedback in the comment section.

The supervisor will evaluate the status of the Project and Goals and will assign an overall rating that best reflects the employee's performance. Feedback is required in the comment section.

Although not a rated section, the Noteworthy Achievements & Accomplishments section of the evaluation provides the opportunity for both the supervisor and the employee to mention activities that were accomplished, although they may not directly relate to the employee's position with the City. For example, although the position does not require it, the employee received an advanced degree during the evaluation period. This accomplishment may be mentioned here and taken into consideration during the rest of the evaluation.

When the entire evaluation is complete, the key performance overall rating and the overall performance rating can be calculated automatically by choosing the "Form Options" function on the menu bar and then clicking on the "Calculate Ratings" option. The overall performance rating will be totaled automatically and appear on the Employee Performance Evaluation Form. Print the final copy of the Employee Performance Evaluation form and route for signatures and routing.

- 4.5 **Retention.** Employee Performance Evaluation electronic file name should be saved as: "last name, first name, MI, evaluation date (year-month, e.g., 2003-01). Example: Doe, John, A. 2003-01.doc.
- 4.6 **Employee Comments.** The employee may provide comments concerning the appraisal or the process.
- 4.7 **Signatures and Routing.**
  - 4.71 The employee's signature is required and indicates the evaluation has been discussed with the employee. By signing, the employee is not acknowledging agreement with the context or results. However, the employee is encouraged to attach a statement and/or request a discussion with the reviewer when there is disagreement.
  - 4.72 The supervisor should sign the evaluation after the employee performance evaluation has been conducted.
  - 4.73 The department head will review the evaluation, signature is required to indicate acceptance of the evaluation and to annotate that the evaluation was or was not completed on time.
  - 4.74 Upon the department head's review and signature, forward the original report and an electronic file copy to the HR Department within a week of the original due date. A Personnel Action Sheet should accompany the completed evaluation report when a salary step increase is recommended and be received by the HR Department prior to the pay period of the salary increase effective date. Provide a paper copy to employee.