

CITY OF MODESTO

Performance

Management

Guidelines

COVERING MCEA-REPRESENTED EMPLOYEES

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What are Performance Management Guidelines?

The City of Modesto uses many different systems to set goals and work toward them. Every employee should know about and understand the following "targets" that exist for them as they perform their daily work:

Performance Management Guidelines	(explained in this document)
Performance Measures	(explained in the Annual Budget)
Missions, Goals and Objectives	(defined by the various departments)
Department Workplans	(defined by divisions/departments)
Personnel Rules	(defined by Personnel/City Council)
Personnel Administrative Orders	(defined by Personnel/City Manager)
Administrative Directives	(defined by City Manager)

Supervisors are responsible for keeping employees informed about these "targets."

This document describes and explains **Performance Management Guidelines**, developed and implemented by the Personnel Department in 1995. These guidelines apply to all City of Modesto employees, except those represented by MPOA. All supervisors are expected to learn the content of this document, and to attend training in order to be able to implement these guidelines. To help you understand Performance Management, we have revised some terminology.

What we formerly referred to as "Appraisals"...are now **Performance Evaluations**.

Performance Management Guidelines are designed to assist supervisors in setting up and communicating to employees what is expected of them, and to measure, record and assess performance vs. Standards. The purpose of these guidelines is to:

- *establish and explain to all employees what evaluation process will apply to them in the course of their work for the City of Modesto;*
- *create a structure that monitors and maintains fair and equitable evaluation of all individuals, regardless of job class, division, or department; and*
- *foster employee development to allow all employees to pursue and attain their full potential.*

In order for these guidelines to be effective and inspire trust among employees, individuals must perceive the system to be fair, and must believe:

- *that the measurements for their work are reasonably objective;*
- *that the measurements are applied fairly regardless of individual qualities (race, gender, age, nationality, etc.);*
- *that all employees have an opportunity to succeed;*
- *that employees at all levels of responsibility are accountable for performance;*
- *that there is a real opportunity for employees to participate in the process; and*
- *that annual evaluations include no "surprises" - behavior should have been regularly monitored, measured, and discussed via coaching sessions.*

Finally, it's important to stress the combination of "people" skills and "process" skills that supervisors need to use when practicing Performance Management.

It is equally important to listen, be empathetic to employee needs and be flexible, as it is to prepare the documentation and submit Standards and Evaluations as required **ACCURATELY AND ON TIME!**

Personnel Department representatives are available to answer questions for supervisors along the way, so call if you need assistance at any time.

What are Performance Standards?

Performance Standards establish which employee skills or behaviors will be evaluated, define the skills or behaviors in general terms, and outline how they will be monitored and measured.

Performance Standards are the guidelines that supervisors use to measure and evaluate the efforts and controllable results of each employee as they pursue organizational goals.

Performance Standards include:

- TITLE** A short heading identifying the performance area.
- WHAT** A brief statement describing the particular performance area, beginning with an action word ("assure" - "perform" - "process").
- HOW** A series of statements that elaborate on the performance area, stated in terms of how the performance will be demonstrated, including "quality" descriptive words.
- MEASURES** Statements that define or describe methods and practices that will be used to monitor, measure and verify levels of performance.
- LEVELS** Statements that define levels of quality and/or quantity of performance required to earn each of the following ratings.

E = Exceeds Standards

M = Meets Standards

D = Does Not Meet Standards.

It is optional to also include a WHY statement that describes the purpose or reason for the behavior, as it relates to the accomplishment of organizational or departmental missions, goals or objectives.

How do supervisors choose what kind of performance should be evaluated?

In the past, many employees have been evaluated based on their roles or responsibilities. Performance Standards looked like:

<u>EXECUTIVE SECRETARY</u>		
<i>Serve the Public</i>	<i>Support the Director</i>	<i>Assist the Advisory Group</i>

In our new model for developing Performance Standards, supervisors are asked to focus instead on skills or behaviors, which, when performed effectively, can be applied to many different roles and responsibilities. Performance Standards would instead look more like:

<u>EXECUTIVE SECRETARY</u>		
<i>Provide customer service</i>	<i>Organize office processes</i>	<i>Supervise staff</i>

This "behavior-based" approach will help employees focus on improving their skills and behaviors by setting specific personal goals for training and improvement.

Why do we have Performance Standards?

In the course of each work day, every employee seeks to do **the right work**, and do it in **the right way**, with the basic goal of supporting this organization in providing service to the community.

To help employees understand what the "right work" is, and to assist them in learning and understanding the "right way" to do things, Performance Standards are established collaboratively between supervisors and their employees.

Performance Standards help employees understand what's expected:

- ***by the organization and by their supervisor.***

Performance Standards ensure that people who have **similar jobs...**
have **comparable Standards!**

Performance Standards make it possible for us to:

- *identify appropriate skills and behaviors,*
- *reach individual, team and organizational goals,*
- *ensure employees are doing the **right work the right way,***
- *provide that productivity and quality levels are achieved,*
- *improve communications between supervisors and employees,*
- *achieve excellence, and*
- *fulfill our role as a service organization*

As important as why we do have Standards is the list of negatives generated when we don't. When employees do not have clearly defined and well-communicated performance Standards, the organization and the individual can experience:

- *low morale,*
- *unacceptable and inconsistent performance,*
- *ineffective leadership,*
- *communication breakdowns,*
- *conflict among employees,*
- *lack of teamwork,*
- *wasted time, energy, resources, money, and*
- *poor prioritization.*

Perhaps the worst impact of all is that when you fail to set Standards, you fail to set the stage for preparing fair and honest performance evaluations.

Types of Performance Standards

There are three "types" of Performance Standards:

- Basic Principles of Employee Behavior** ...for **all** employees,
- Custom Standards** ...**specific** to an employee or job class,
- Modified Standards** ...for **probationary employees or trainees**

**For most employees, 6 to 9 Custom Standards will be set for the evaluation period.
Custom Standards can be written in areas also covered by Basic Principles.
Modified Standards are "modified" versions of Custom Standards.**

Basic Principles of Employee Behavior

The Basic Principles of Employee Behavior are provided in the Support Documents section at the end of these guidelines (Document 1).

Basic Principles of Employee Behavior are assumptions of the level and quality of behavior that the organization expects from all employees, regardless of their department, job title, or specific job duties.

Basic Principles are defined by the organization and are clearly communicated during the hiring and orientation process.

Although employees may not be regularly coached or evaluated on Basic Principles, they are considered to be fundamental to achieving excellence.

All employees should understand that failure to comply with Basic Principles may be the foundation for disciplinary action.

Custom Standards

Custom Standards are assumptions of the level and quality of behavior that the organization expects that are specific to a particular employee or job class.

These Standards are defined collaboratively by supervisors and employees, and are clearly communicated at the time of hire, during the probationary period, and at regular intervals throughout employment.

Employees are to be regularly coached and evaluated on Custom Standards. They are considered to be fundamental to achieving excellence, and, they may be the foundation for disciplinary action.

Custom Standards specifically describe a skill or behavior, describe performance and productivity Standards, and outline expected results and how they will be measured.

EXAMPLE Process applications for funding.

Process applications quickly and accurately, completing a minimum of five applications per week with no more than 2 errors per application. Measured by jointly reviewing a calendar record of in/out dates and proofreading completed applications, resulting in efficient operations within the application processing team.

To help supervisors develop Custom Performance Standards, **Examples of Skills and Behaviors** are provided in the Support Documents section at the end of these guidelines (Document 2).

Supervisors can write more than one Custom Performance Standard for any particular skill or behavior.

Supervisors may also feel that it is appropriate to establish Custom Standards that are based on Basic Principles.

Modified Performance Standards

Under some circumstances, Standards are modified to make them more realistic tools for performance management, for example:

Employees on Probation (new or promoted)

Sometimes a newly hired employee is justifiably unable to meet or exceed the Standards of a position without a period of learning and networking. Under these circumstances, Standards should be written to motivate the employee to seek out and acquire the skills, insight and information needed to reach full competence before the end of their probationary period.

Standard Example

“Attend meetings; take notes; transcribe notes within 24 hours; achieve a level of 95% accuracy or better.”

Standard Example

“Attend meetings; take notes; transcribe notes within 24 hours; achieve a level of 95% accuracy or better.”

Modified Standard Example

*“Attend meetings; take notes; transcribe notes within **48** hours; achieve a level of **80%** accuracy or better.”*

Modified Standards for new employees must be revised at the end of their probationary period.

If it is clear that an employee is not able to meet the full Standards for the job by the end of the probationary period, the employee should be released from employment.

Trainee Positions (only for jobs titled trainee)

Employees hired to fill jobs titled “trainee” generally have many skills and competencies. It can be assumed, however, that their “trainee” period should be structured to take them from their current level of competence to full competence. Standards for this period may be less stringent, and they should define the expected learning progress of the employee.

Standard Example

“Prepare monthly reports, prepare slide show, and present to the City Council.”

Trainee Standard Example

“Learn all aspects of preparing monthly reports, learn to prepare slides, attend City Council meetings to see how presentations are done, and practice public speaking skills.”

It is the supervisor's responsibility to be sure that modified Standards are reasonable, appropriate, and revised when needed.

Who is involved in Performance Standards?

Basic Principles of Employee Behavior are developed through input from the organization, with the approval of the Executive Team. They are the same for all employees, and are periodically reviewed and modified.

Custom Performance Standards and Modified Performance Standards are developed collaboratively by supervisors and employees.

RESPONSIBILITIES:

Employees should...

- work with supervisors to develop Custom Standards
- provide input regarding draft Standards

- participate in ongoing discussions with supervisors to determine if Standards need to be changed during a rating period

Supervisors should...

- work with employees to develop Custom Standards
- lead ongoing discussions with employees to determine if Standards need to be changed during a rating period
- prepare the final formal document
- prepare Standards for each employee
- **for unrepresented employees:** send a copy to the Personnel Department for entry into the DATABANK*
- **for represented employees:** send a copy to Personnel for filing in the bargaining unit file

*** DATABANK** is a file in Word that contains examples of Performance Standards for various job classifications and for various skills for unrepresented employees. A paper file is maintained for represented employees.

**FINAL APPROVAL OF PERFORMANCE STANDARDS
IS CONSIDERED TO BE A FUNDAMENTAL MANAGEMENT RIGHT.**

The Supervisor's Supervisor ("Second Level" Supervisor) should...

- monitor the timely preparation of Performance Standards, and endorse Performance Standards developed collaboratively by supervisors and employees.

Department Directors should...

- ensure that the Performance Standard process is accomplished at all levels in an effort to meet department and organizational goals.

Personnel Department should...

- maintain the Performance Standards Databank, provide oversight to ensure uniformity, and arbitrate disputes involving Performance Standards.

How are Performance Standards developed?

A **Supervisor's Checklist for Developing Performance Standards** is provided in the Support Documents section at the end of these guidelines (Document 3).

The accepted **Format for Performance Standards** is provided in the Support Documents section at the end of these guidelines (Document 8).

HOW TO WRITE EFFECTIVE PERFORMANCE STANDARDS

Each Standard should be given a short **title** beginning with an action word. (Refer to **Examples of Skills and Behavior**, Support Document 2).

The first sentence should be a **summary statement**, describing the performance area briefly. When you later prepare the Performance Evaluation, the title and summary statement will be restated as a reminder of the Standard.

The next one or two sentences should describe specifically **how the performance will be demonstrated**, and may include a list of behaviors, actions or tasks.

Next, a few sentences should describe what **methods will be used to monitor, measure and evaluate** performance, and who will be responsible for maintaining those methods. (Refer to **Options for Measuring**, Support Document 4).

Determining how to monitor, measure and evaluate a skill or behavior can be complex and difficult to describe. Start by considering which of these two approaches makes more sense for the skill you will be evaluating:

QUANTITATIVE RATING

The employee's performance is measured using a number or formula, to determine if it exceeds, meets or does not meet the expected range of performance. Quantitative measurement systems include, but are not limited to, surveys, counts, statistics, percentages, scores, letter grades, dollars saved or earned, and numerical service levels. Quantitative measurement systems should be designed and ready for implementation at the beginning of the rating period, and both supervisor and employee should be clear on how these systems will be maintained and evaluated.

QUALITATIVE RATING

The employee's performance is measured using more subjective approaches, to determine if it exceeds, meets or does not meet the expected range of performance. Qualitative measurement systems include, but are not limited to, supervisor observation, peer or customer feedback, impressions, perceptions and judgments. Qualitative measurement systems should be designed and ready for implementation at the beginning of the rating period, and both supervisor and employee should be clear on how these systems will be maintained and evaluated.

If supervisors determine that methods of measurement should be different for E, M, or D level performance...

measurement statements can be incorporated into the definitions of E, M and D.
(Refer to **Options for Incorporating Measurement Statements**, Document 5).

Finally, E, M and D levels should be defined and clarified, so that employees can understand what it takes to earn each rating.

For some skills and behaviors, it may be difficult to define "E" level behavior. To help supervisors define E, we have created some general definitions for E, M and D.

Definition of Terms

E = Exceeds Standards

Consistently meets the job requirements during the evaluation period and consistently exceeds Standards. E-level performance is, however, more than just "doing more" of the behavior defined in M. E-level performance can include, but is not limited to, creative thinking, innovation, anticipation of challenges and needs, application of technology in new ways, pursuit of new partnerships in getting the job done, rethinking traditional methods in order to improve, implementing continuous improvement systems, enhancing revenue and maximizing resources. **Remember, an employee must perform all aspects of M-level behavior and E-level behavior in order to earn an E rating.**

M = Meets Standards

Consistently meets the job requirements during the evaluation period, with few variations in performance. M-level performance implies that behavior fully satisfies the current workplace demands, taking into consideration that work place demands change over time.

D = Does Not Meet Standards

Periodically or consistently failed to meet the job requirements during the evaluation period.

For assistance in developing E, M and D level statements, contact your Performance Management Guidelines Training Team representative.

For examples of fully developed Performance Standards, see Support Document 8.

Can Standards be "weighted?"

Yes, Standards can be weighted.

Sometimes, each of the 6 to 9 Standards for an employee have equal value or "weight" in terms of importance or priority. In other situations, it may be appropriate to assign a greater value to some Standards, and lesser value to others, in order to make it clear to an employee which skills and behaviors are most critical during that rating period.

If supervisors choose to "weight" each Performance Standard, the following guidelines apply:

A percentage system should be used, with all Standards totaling 100%.

No one Standard should be weighted less than 10%.

All Standards should be weighted in increments of 5%.

(example: 10% - 15% - 20% - 25% - etc.)

EXAMPLE:	<i>Prepare written reports</i>	<i>40%</i>
	<i>Manage information</i>	<i>25%</i>
	<i>Assure customer service</i>	<i>15%</i>
	<i>Develop and administer budget</i>	<i>10%</i>
	<i>Plan events and activities</i>	<i>10%</i>

For a detailed explanation of how weighting affects the way you calculate the overall rating at the time of evaluation, refer to the **Supervisor's Checklist for Preparing Performance Standards** (Document 7).

There may be many reasons for "weighting" Standards. If you are unsure about whether or not to use weighting, you may want to discuss this technique with a PMG Training Team representative.

When are Performance Standards developed?

PERFORMANCE STANDARDS ARE NEEDED...

- ...when employees are first hired,
- ...when employees change jobs,
- ...at regular intervals (for example: annually),
- ...when a job classification is established or revised, and
- ...when significant changes are made in organizational goals
(such as reorganization, restructure or change in Council direction).

PERFORMANCE STANDARDS MUST BE DEVELOPED...

...no more than two weeks after any of the events listed above.

What is Coaching?

Coaching can be either a formal or informal process for giving an employee feedback on their job performance. That feedback should be delivered in terms of how their current performance (positive/negative) compares with the Standards for the job.

Informal coaching can be a casual conversation between supervisor and employee regarding a skill or behavior. **Formal** coaching should be more structured.

When performance is significantly negative, coaching sessions should be followed by a written Record of Discussion, outlining what was said and agreed to by both supervisor and employee. Coaching sessions that result in written Records of Discussion create documentation in support of corrective or disciplinary action.

Coaching provides employees with feedback to let them know how they are doing in the period between Evaluations. Coaching may be a good time to look at existing Standards and renegotiate any that have become outdated or inappropriate.

Coaching is a chance to open a constructive dialogue between the supervisor and employee, and can be used as a time to express praise or give recognition for a job well done. Coaching also gives employees and supervisors a chance to ask questions and get information regarding the job itself and how it should be done.

Why do we have Coaching Sessions?

Coaching sessions are done to support each employee's efforts to excel within the organization, by helping them successfully meet or exceed their Standards. Coaching helps to identify minor negative performance issues before they become major ones. When done correctly, and on time, coaching provides information to employees throughout the year, so that all feedback (positive or negative) included in the Annual Performance Evaluation is based on prior discussions.

In other words, information in an Annual Performance Evaluation must not come as a surprise to the employee.

Who is involved in Coaching?

Formal and informal Coaching should be done by and between all supervisors and their employees, in all departments, and at all levels of the organization.

How are Coaching Sessions conducted?

A **Supervisor's Checklist for Effective Coaching** is provided in the Support Documents section at the end of these guidelines (Document 6). Since providing feedback to others is a complex skill, supervisors are encouraged to seek training.

When do we have Coaching Sessions?

Every City employee should be involved in a formal coaching session at least quarterly. In addition, Coaching Sessions should be scheduled:

- *whenever employee performance does not meet Standards,*
- *whenever individual performance has a negative impact on the work team,*
- *whenever there is a noticeable change in employee performance, and*
- *whenever a Performance Evaluation is due.*

What are Performance Evaluations?

Performance evaluations are written assessments of how well, and to what degree, an employee has met previously agreed upon Performance Standards.

Performance Evaluations are the qualitative and quantitative statements of appraisal that allow supervisors to "feed back" their perceptions of employee performance toward organizational goals. Performance Evaluations normally include:

- *the title and summary statement of each Standard,*
- *a letter rating of E, M or D, and*
- *a narrative paragraph to explain and support the letter rating.*

Performance Evaluations must also provide employees with recommendations or suggestions for how they can improve performance in any areas rated "D".

For examples of completed Performance Evaluations, refer to the **Performance Evaluation Format** in the Support Documents Section (Document 9).

Why do we have Performance Evaluations?

Performance Evaluations make it possible for us to:

- *motivate employees and provide them with the incentive to excel;*
- *provide a systematic method of measuring, recording, assessing, and improving work performance, effectiveness, productivity and development;*
- *improve communications between supervisors and their employees through the use of constructive feedback;*
- *commend competence and identify skill gaps or deficiencies;*
- *provide assessment during probationary periods; and*
- *document past performance, thereby creating a historical record of an employee's work.*

Who is involved in Performance Evaluations?

FORMAL/MANDATORY EVALUATIONS

Supervisors are required to establish Performance Standards and prepare Performance Evaluations for all employees who "officially" report to them. Supervisors are expected to use Performance Management Guidelines.

Employees should be allowed to provide input during the evaluation process. Draft evaluations should be discussed with each employee, and employee input should be incorporated into the final evaluation.

Supervisors will receive explanatory documents for all FORMAL/MANDATORY evaluation processes and will be scheduled for mandatory training on this subject.

INFORMAL/VOLUNTARY EVALUATIONS

Several alternative approaches to evaluation have been used within this organization and should be considered as options available to all supervisors.

Peer Evaluations	written by employees about their peer(s)
Team Evaluations	written by supervisors or employees about a team
Supervisory Skills Assessments	written by employees about their supervisor
Self Evaluations	written by employees about their own performance

Supervisors can request explanatory documents for all Informal/Voluntary evaluation processes and will have the option of attending training on this subject.

How are Performance Evaluations prepared?

A **Supervisor's Checklist for Preparing Performance Evaluations** is provided in the Support Documents section at the end of these guidelines (Document 7).

The accepted **Performance Evaluations Format** is provided in the Support Documents section at the end of these guidelines (Document 9).

The following comments are intended to help supervisors develop effective evaluations by understanding some of the subtleties involved:

Objectivity

Whenever supervisors assess and appraise the performance of others, they should strive to include honest, accurate and factual behaviors they personally have observed.

However, in some situations, supervisors do not always have a chance to directly observe employee performance, so they must rely on a combination of observation, feedback from others, and measurable results. Still, the goal is to write **objective** comments, focusing on the skills and behaviors being rated.

WRONG WAY: Subjective Statement Example

"It seems like you are getting better at budget preparation."

RIGHT WAY: Objective Statement Example

"You have improved your budget preparation skills from basic level to advanced level during the past year. I recorded a 25% improvement in on-time budget document preparation and a 10% improvement in calculation accuracy."

Generalized statements that "gloss over" behavior or fail to cite specifics can have a negative impact on both the employee and the organization. Performance Management is only effective when it is direct, constructive, and realistic.

Point of View

Evaluations should be written in the **first person**. This creates a feeling of dialogue between supervisor and employee.

WRONG WAY: Third Person Example

*"She has significantly improved her customer service skills." - or –
"Sarah has significantly improved her customer service skills."*

RIGHT WAY: First Person Example

"You have significantly improved your customer service skills."

Statements should be open and honest, using a direct, but supportive tone.

Evaluations should cover the entire performance period, so be sure you have considered the full range of behaviors observed over that time and rated accordingly, instead of rating a recent downward or upward turn only.

Annual Performance Evaluations should be an overview of the performance period, covering issues already discussed during that period.

When are Performance Evaluations prepared?

- **Annually for the formal evaluation process.** Supervisors will receive notice from the Personnel Department when it is time to prepare an Annual Evaluation. A completed Annual Evaluation is due on the date noted on the "Performance Evaluation Due" form.
- **At intervals for every new employee.** After 3 months, 6 months, 9 months, and 1 year, the Personnel Department sends notices to every supervisor letting them know whenever an evaluation is due.
- **Whenever any employee changes jobs,** their current supervisor should write a closing evaluation and provide a copy to their new supervisor.

Closing Comments

Performance Management Guidelines were developed over a number of months with extensive input from employees, supervisors, external consultants and others with expertise in the area of workplace behavior. Like all "systems" for managing people, this one is subject to revision from time to time. Call 75400 if you have suggestions!

Support Documents

The following documents are intended for use by all City of Modesto supervisors.

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Notes:

Documents 8 and 9 are FORMATS (not forms).

Call Personnel at 75400 to have formats sent to you electronically through the Group Wise network.

If you are not on Group Wise, simply recreate the format on your own word processing system.

BASIC PRINCIPLES OF EMPLOYEE BEHAVIOR

Diversity

Employees are expected to be aware of the diversity of our workforce, including the similarities and differences between people, and to value the "richness" of those differences. Employees should illustrate their appreciation of diversity through improved listening, expanded understanding, and greater acceptance of cultures different from their own.

Teamwork

Employees are expected to build and maintain effective working relationships with fellow employees both within their department and across department lines. This should include developing relationships of cooperation, trust and teamwork with others and seeking consensus in situations where it is required. The end result of teamwork is to ensure that the goals and objectives of each employee, team, division, and department are met.

Ethics

Employees are expected to conduct themselves in an ethical manner, making decisions and taking actions for the good of the community and its citizens, not for personal gain or advantage. Employees should, at all times, be aware not only of the propriety of their actions, but the **perception** of impropriety.

Appearance

Employees will be expected to dress appropriately for their work assignment. Some departments maintain specific requirements for uniforms to be worn on the job. Employees should not wear clothing that could be hazardous in their work setting, draws attention to their sexuality, or contains political messages. Employees should observe standards of personal hygiene that create a positive image and that are not offensive.

Development

Employees are expected to dedicate a portion of their business time toward the improvement of their knowledge, skills and capabilities. Employees are expected, during the course of their career, to be aware of and learn new techniques and insights associated with their job and role.

Innovation

Employees are expected to approach their task with an attitude of constant improvement, meaning that they should, at all times, seek out and develop ways to do things better and more affordably, asking themselves: How can this job be done easier or better? Does this job need to be done at all? What does the customer REALLY need or want? Employees should strive to create a climate where creativity and innovation are nurtured and supported, and where working "smarter" is as important as working harder.

Initiative

Employees are expected to fully contribute, at all times, to the quality and quantity of service provided. In all assignments, employees should take the initiative to make things better. Employees should show adaptability and a constructive attitude in their approach to new or expanded work assignments.

Conservation of Resources

Employees should make every effort to control the use of available resources. This includes making sure that materials are not wasted or misused, that equipment is kept in good repair and always used for the purpose intended, and that budget requests are made to take advantage of lower costs. It is also expected that an employee's time be thought of as a resource, so that ways to do a job more effectively and efficiently are considered.

EXAMPLES OF SKILLS AND BEHAVIORS

Assure Positive Customer Relations

Proactively assess and address internal and external customer needs; use sensitivity, diplomacy and empathy in effectively and promptly responding to concerns and inquiries from citizens and employees; demonstrate openness, receptiveness, and approachability; solicit and give attention to concerns and opinions of others; accurately interpret and communicate established policies and procedures; know when to curtail comments and conclude conversations; demonstrate active listening skills; provide direct, honest responses to questions (Standards apply to both formal and informal situations).

Manage Risk

Observe all safety rules and regulations governing their work assignments; report unsafe working conditions to supervisors; and take emergency action to prevent immediate injury to citizens/employees.

Demonstrate Positive Work Habits

Be **at work on-time at all times**; being **at work on-time** includes returning on-time from scheduled rest and meal periods; except as otherwise specifically allowed by labor agreement, employees **must** have prior approval of their supervisor for any absence from work.

Explore Innovative Methods

Identify, develop, pursue and implement new, better, and more affordable ways of doing things; take prudent, calculated risks

Provide Technical and/or Professional Assistance

Demonstrate knowledge of the application of technology in all areas of responsibility; be professionally involved, network with others in the professional field

Develop and Administer Budget(s)

Monitor, manage and achieve the goals, objectives and performance standards within the budget; seek revenue opportunities; be mindful of the conservation of all organizational resources

Supervise Staff

Direct, monitor and control staff and resources to meet work requirements and deadlines; develop appropriate Performance Standards, provide feedback through coaching, and prepare timely and effective Performance Evaluations; effectively handle performance deficiencies; be a coach-facilitator, rather than a "boss"; coach, mentor, delegate, empower, negotiate and mediate

Plan

Identify and respond to issues before they become problems; promptly react to problems with careful, tactful, timely and thoughtful solutions; use strategic, long term planning to drive most work efforts

Demonstrate Professional Integrity

Conduct personal and professional relationships fairly, honestly and legally; make decisions and take action for the good of the community and its citizens, not for personal gain or advantage

Understand and Apply "Citizens First!" Concepts

Recognize and respond to the organization's customers (internal/external) with prompt, friendly and effective service; see internal and external input and feedback to determine if customer requirements are being met; use the Citizens First "filter" to develop new processes or programs or to evaluate and update existing ones; participate on Citizens First Project Teams to solve organizational problems

Adapt Quickly and Demonstrate Flexibility

Adapt to shifting priorities and needs; anticipate and consider others viewpoints; negotiate and compromise when necessary

Produce Quality and Timely Work

Successfully complete work, producing quality results with a professional image, within established time frames

Demonstrate Initiative and Responsiveness

Accept and respond to new assignments; recognize and address unassigned responsibilities; react to the requests and needs of others with speed, thoroughness and quality

Maintain a Professional Appearance

Personal appearance is appropriate for regular work responsibilities and for special work assignments; observe standards of personal hygiene and grooming that create a positive image and are not offensive

Illustrate Political Astuteness

Understand, support and work toward the goals and objectives of the City Council; be aware of and appropriately respond to the political implications of local government

Support Team Orientation

Proactively support City management direction and promotes the organization's values, goals and objectives

Manage Diversity

Recognize, appreciate, support and accept diversity in the workforce and in the community; actively pursue greater understanding of others who may be different from yourself, and support progress toward diversity goals whenever possible

Pursue Organizational Involvement

Inspire total organizational excellence through employee involvement; assist other departments with goals and objectives where possible; collaborate on inter-departmental efforts to achieve results

**THESE ARE JUST SOME OF THE EXAMPLES PROVIDED FOR SUPERVISORS
TO HELP THEM DEVELOP PERFORMANCE STANDARDS.**

**FOR MORE EXAMPLES, CONTACT PERSONNEL AT EXT. 75400
AND ASK ABOUT THE "DATABANK."**

SUPERVISOR'S CHECKLIST For Developing Performance Standards

- Get training on how to prepare Performance Standards.
- Review the employee's job description.
- For Management and Confidential employees, review "Examples of Skills and Behaviors."
- Get performance Standards from either the Databank or bargaining unit file for jobs that are the same or similar.
- Be sure that Standards for this employee (job title) are not significantly different from Standards for similar job titles within the organization. Contact the Personnel Department at 75402 for information from the Databank or bargaining unit file.
- Solicit and review available industry standards.
- Have an information preliminary meeting with the employee to seek their input on which skills and Behaviors should be included. Find out what they think should be accomplished during the Upcoming evaluation period.
- Create a document based on the format for Performance Standards (Document 8).
- Review the definitions provided in this document.
- Draft a reasonable number of Custom Standards (6-9).
Write statements that explain how each Standard will be demonstrated.
- Write statements that explain how each Standard will be monitored, measured and evaluated.
- Review draft Standards to be sure they are as objective as possible, and that they reflect the essential functions of the job.
- Review your work so far to determine if there is any significant difference between the Standards you have drafted and those you gathered from the Databank and the industry. Call Personnel to discuss differences.
- Have your draft reviewed by your PMG Training Team representative.
- Meet with your supervisor to go over your draft. Seek their input and resolve differences.
- Meet with the employee to review your draft Standards and measurement statements. Solicit their input and strive to resolve differences.
If the employee disagrees with your draft Standards, advise your Supervisor.
- Revise your draft and, wherever possible, incorporate employee input.
- Supervisor and employee should sign the final document.
Send original to: Personnel

Provide a copy to: Employee – Your Office File – Your Supervisor – Your Department Head

OPTIONS FOR MEASURING

Performance can be measured using a variety of methods and techniques, with the result being the "capture" of data or information that helps to determine the level of performance. Some of the most common methods are:

Supervisor observation
Peer observation
Self observation
Logs or lists
Charts, graphs, diagrams

Data tracking (manual or computer)
Customer satisfaction survey
Feedback (positive and negative)
Results (reduction in time, cost, etc.)
Testing or certification

In deciding what method to use for measurement, you may want to consider what's being measured?

EFFORT

Time spent (log)
Money spent
Visits or visitors
Applications submitted
Calls made
Documents sent

VOLUME

Total count
Sample count taken periodically
Batch count

ACCURACY - COMPLIANCE

Records
Checklists
Sample error rate
Calculations or audits
Policies or operating procedures
Rules or Guidelines

EFFICIENCY

Unit cost
Cycle time
Person hours
Steps or complexity of task

OVERALL QUALITY

Survey rating
Expert evaluation and judgement
Self evaluation and judgement
Customer feedback

RESULTS

Performance
Cost savings or revenue generation
Certification or licensing
Industry standards
Reduction in incidents
Increase in activity
Customer satisfaction
Success rate

IMPACT

Acceptability
Public perception
Crime rate statistics
Tax revenues
Community appearance
Business vitality
Council effectiveness

OPTIONS FOR INCORPORATING MEASUREMENT STATEMENTS

Methods of measurement and verification

- (A) may be the same for all three performance levels, therefore, a single measurement statement can be made before E - M - D are defined, or
- (B) may be different for different levels of performance, therefore, different measurement statements should be included within the definitions of E - M - D.

Examples of these two different approaches are provided to help you understand and choose:

OPTION A ASSURE POSITIVE CUSTOMER RELATIONS

Assure positive customer relations in all aspects of your job, in order to create a more positive public image to the community. This will be demonstrated by responding to customer requests for information and using principles of "Citizens First."

This will be measured using supervisor observation, customer service evaluation forms, and other written and verbal customer feedback.

- E = Proactively assess customer needs, respond expediently to requests, illustrate compassion and concern toward customers and actively participate in "Citizens First" activities and efforts. Receive an overall customer survey rating above 8.
- M = Respond promptly and courteously to customer requests, listen empathetically to customer concerns, regularly apply "Citizens First" customer relations practices. Receive an overall customer survey rating between 7 and 8.
- D = Fail to respond to customers in a timely manner; act inappropriately or discourteously toward customers; fail to listen effectively; disregard "Citizens First" customer relations practices. Receive an overall customer service rating below 7.

OPTION B ASSURE POSITIVE CUSTOMER RELATIONS

Assure positive customer relations in all aspects of your job, in order to create a more positive public image to the community. This will be demonstrated by responding to customer requests for information and using principles of "Citizens First."

- E = Proactively assess customer needs, respond expediently to requests, illustrate compassion and concern toward customers and actively participate in "Citizens First" activities and efforts. **This will be measured using a community-wide customer service evaluation form and feedback from the City Council.** Receive an overall customer survey rating above 8.
- M = Respond promptly and courteously to customer requests, listen empathetically to customer concerns, regularly apply "Citizens First" customer relations practices. **This will be measured using supervisor observation, peer evaluation, and other written and verbal customer feedback.**
- D = Fail to respond to customers in a timely manner; act inappropriately or discourteously toward customers; fail to listen effectively; disregard "Citizens First" customer relations practices. **This will be measured using supervisor observation, and other written and verbal customer feedback.**

SUPERVISOR'S CHECKLIST For Effective Coaching Sessions

- Attend an Employee Training Class that will develop your coaching skills (call Training at 75490).
- Select a time and place where you and the employee will be able to talk in a quiet, Private setting.
- Let the employee know when and where the coaching session will take place.
- Be well prepared.** Review your Training Class notes.
- Review any Standards that relate to what is going to be discussed.
- Plan what to say and how to constructively say it.
- Plan to ask for ideas and suggestions.
- Follow up in writing if necessary.

SUPERVISOR'S CHECKLIST For Preparing Performance Evaluations

- Get training on how to prepare Performance Evaluations.
- Review the employee's Performance Standards and re-read Basic Principles.
- Review all coaching session notes and coaching related documents.
- CREATE A DOCUMENT BASED ON THE FORMAT FOR PERFORMANCE STANDARDS (Doc. 9).**

- a - Type in the first Performance Standard Title and summary statement only.
- b - Determine a letter rating (E - M - D) for the first Performance Standard.
- c - In paragraph form, summarize performance as compared to Standards.
Note significant positive or negative variations. Use this approach:
 - summarize positive performance and express praise,
 - encourage continued positive performance,
 - summarize areas of deficiency and express concern,
 - describe corrections you recommend and encourage correction,
 - summarize overall impressions of contributions toward individual or group goals.
- Be sure to refer to the methods of measurement for the Standard, and quote actual measurements where appropriate.

- Repeat steps "a" through "c" for all Performance Standards.

DETERMINING THE OVERALL RATING

If "weighting" is not used...

- If the majority of the ratings are E, and no D ratings are given, overall = E
- If the ratings are half E and half M, and no D ratings are given, overall = **E or M***
- If the majority of the ratings are E, and only one rating is D, overall = M
- If the majority of the ratings are M, and only one rating is D, overall = M
- If other ratings are E and/or M, but two or more ratings are D, overall = D
- If one D rating is given for extremely deficient behavior in any one area = D

If "weighting" is used...

- If any ratings are D, overall ...cannot be E
- If 55% or more ratings are E, and the rest are M, overall ...must be E
- If more than 10% of the ratings are D, overall ...cannot be M; must be D
- If ratings are 50% M and 50% E overall ...**E or M***

*** Supervisors must make the "call" based on other factors.**

- Type in the overall rating at the end of the Performance Evaluation.
- Meet with your supervisor to go over your draft. Seek their input and resolve differences.
- Meet with the employee to review your draft. Ask the employee to suggest additional ways to maintain positive performance and improve deficient areas. Make note of their comments.
If the employee disagrees with your evaluation, advise your supervisor.
- Revise your draft and, wherever possible, incorporate the employee's ideas and comments.
- Supervisor and employee should sign the final document.
Send original to: Personnel
Provide a copy to: Employee – Your Office File – Your Supervisor – Your Department Head

CITY OF MODESTO PERFORMANCE STANDARDS

Name: Kim Johnson
Job Title/Classification: Supervisor I
Social Security Number: 000-00-0000
Performance Period: June 1995 - May 1996
Department: Personnel
Division: Training
Supervisor's Name: Chris Brown
Supervisor's Title: Supervisor II

PERFORMANCE LEVELS:

E - Exceed Standards
M - Meets Standards
D - Does Not Meet Standards

#1 - ASSURE POSITIVE CUSTOMER RELATIONS

Assure positive customer relations in all aspects of your job, in order to create a more positive public image to the community. This will be demonstrated by responding to customer requests for information and using principles of "Citizens First."

This will be measured using supervisor observation, customer service evaluation forms, and other written and verbal customer feedback.

- E = Proactively assess customer needs, respond expediently to requests, illustrate compassion and concern toward customers and actively participate in "Citizens First" activities and efforts. Receive an overall customer survey rating above 8.
- M = Respond promptly and courteously to customer requests, listen empathetically to customer concerns, regularly apply "Citizens First" customer relations practices. Receive an overall customer survey rating between 7 and 8.
- D = Fail to respond to customers in a timely manner; act inappropriately or discourteously toward customers; fail to listen effectively; disregard "Citizens First" customer relations practices. Receive an overall customer survey rating below 7.
-

#2 - MANAGE RISK

Ensure that team members get 4 hours of training on safe lifting.

This will be demonstrated by contacting Risk Management for information on safe lifting training, and ensuring that all the members of your team enroll in, attend and complete a minimum of 4 hours of training during this rating period.

This will be measured by self evaluation and quarterly written reports.

- E = You participate in designing and delivering the safe lifting training sessions. You lead a team effort to reduce back injury through safe lifting practices. 100% of team members complete 4 hours or more of safe lifting training. 50% of team members complete more than 4 hours of safe lifting training.
 - M = 95-99% of team members complete 4 hours or more of safe lifting training.
 - D = Less than 95% of team members complete 4 hours or more of safe lifting training. Failure to require safe lifting training leads to an employee back injury.
-

#3 - CONDUCT TECHNICAL PROCESSING

Process payments of accounts payable as part of your administrative duties.

This will be demonstrated by processing bills received efficiently, accurately, and with attention to detail, while also handling other tasks.

- E = Processing systems are examined to identify opportunities to streamline processes. Early payment discounts are investigated and pursued in order to minimize expenses. Payments are processed, on average, in 2 working days or less. Other tasks are effectively balanced through personal time management. E-level performance will be measured by a combination of statistical tracking and supervisor observation.
 - M = Payments are processed, on average, in five working days or less. Other tasks are accomplished. Details are carefully monitored and mistakes are minimal. M-level performance will be measured by a combination of statistical tracking and supervisor observation.
 - D = Payments are processed late, or average processing exceeds six working days. Other tasks are not kept current. Details are overlooked and mistakes are frequent. D-level performance will be measured by statistical tracking, supervisor observation, and feedback from other employees and vendors.
-

Although only 3 examples are included in this document, employees should have 6 to 9 Performance Standards per rating period.

"I have read these Standards,
discussed them with my supervisor
and received a copy."

Read and discussed on: _____ / _____ / _____

Employee's Signature: _____

Supervisor's Signature: _____

Copies provided to:

Employee: _____ / _____ / _____

Supervisor: _____ / _____ / _____

Personnel: _____ / _____ / _____

City of Modesto
PERFORMANCE EVALUATION

Name: Kim Johnson
Job Title/Classification: Supervisor I
Social Security Number: 000-00-0000
Performance Period: June 1995 - May 1996
Department: Personnel
Division: Training
Supervisor's Name: Chris Brown
Supervisor's Title: Supervisor II

PERFORMANCE LEVELS:

E - Exceed Standards
M - Meets Standards
D - Does Not Meet Standards

#1 - ASSURE POSITIVE CUSTOMER RELATIONS

Assure positive customer relations in all aspects of your job, in order to create a more positive public image to the community.

RATING = E

Your efforts toward providing excellent customer service exceeded Standards. Your use of a customer service survey form to measure satisfaction with the new program led to an average rating of 8.6, and many other employees have commented that the new program is very successful. I have observed that you are a very good listener when handling citizen problems and concerns. Your involvement on a Citizen's First project team this year has helped the group identify many new ideas and methods for improving our service to the community. I encourage you to continue to be a good example in serving customers, as your work is very valuable to the division, the department and the public.

#2 - MANAGE RISK

Ensure that team members get 4 hours of training on safe lifting.

RATING = M

Last year, when we established your Standards, you set an M-level goal of providing 4 hours of safe lifting training to 95 to 99% of your team members. Your quarterly reports indicate that 4 hours of safe lifting training was successfully completed by 96% of the members of your team during this rating period.

Therefore, your performance successfully met Standards in this area. I am pleased by the way training was scheduled during slow work periods and encourage you to work with team members on applying what they learned in class. Safe lifting will be a key concern as we do more and more room setup in the future.

#3 - CONDUCT TECHNICAL PROCESSING

Process payments of accounts payable as part of your administrative duties.

RATING = D

Your Standard in this area was that bills received would be processed efficiently, accurately, and with attention to detail, while also handling other tasks. As we discussed during our last coaching session, our record keeping system shows that payments are often processed late. Average processing time is up to 7 working days. That level of performance does not meet Standards.

In addition, some of your other tasks are not being kept current. My observation has been that you are frequently overlooking details, and math mistakes are being repeated, even after you are shown the correct calculation to perform. I received two valid complaints from vendors about these problems.

During coaching, you suggested that you seek further support and training from the Finance Department. While that seems to be helping in some areas, not all problems have been solved. I recommend that you schedule a full day (Monday) each week for payment processing, so that you will not be interrupted in your duties, and that you report to me at the end of that day to discuss any tasks that have not been completed. I also recommend that you double check all calculations on every item.

I know this task has been frustrating to you, and failure to meet Standards creates stress within our team. Continued problems could lead to disciplinary action if not corrected. Although you have earned a D rating in this area, you have shown me in the past few weeks that with serious, dedicated effort, you can improve. Remember to keep me informed if there is any way I can support your efforts.

Although only 3 examples are included in this document, employees should be evaluated on 6 to 9 Performance Standards per rating period.

OVERALL RATING - M

Overall, your performance meets Standards for this year. Although you are still facing challenges in processing payments, you have expressed a sincere desire to improve and have backed that up with recent changes in behavior. In addition, your positive customer service skills have served as a model to other employees, helping our teamwork and total productivity overall. Your positive approach is appreciated.

Employee comments added:

Thank you for your positive evaluation of my customer service skills. I have tried to improve in this area and it seems to be working out. My plans to get 100% of the team through safe lifting were impacted by a high level of sick leave this year, making scheduling very difficult. I understand your comments about my processing of payments, but want to point out that I am still having trouble getting the support documents I need from other team members. Maybe we need to have a team meeting so I can explain the frustration I feel when trying to get things done on time.

Read and discussed on: ____/____/____

"I have read this evaluation, discussed it with my supervisor and received a copy."

Employee's Signature: _____

Supervisor's Signature: _____

Copies provided to:

Employee: ____/____/____

Supervisor: ____/____/____

Personnel: ____/____/____