

CITY OF LA VISTA
MAYOR AND CITY COUNCIL REPORT
DECEMBER 15, 2015 AGENDA

Subject:	Type:	Submitted By:
COUNCIL POLICY STATEMENT EMPLOYEE PERFORMANCE MANAGEMENT	◆ RESOLUTION ORDINANCE RECEIVE/FILE	RITA RAMIREZ ASSISTANT CITY ADMINISTRATOR/ DIRECTOR OF COMMUNITY SERVICES

SYNOPSIS

A resolution has been prepared to approve a Council Policy Statement regarding the Employee Performance Management Program.

FISCAL IMPACT

N/A

RECOMMENDATION

Approval

BACKGROUND

As you know, over the last several months a team of employees has been working with a consultant from the Management Education Group on a project to update the City's employee performance management program. Following meetings with employee groups, City leadership, and the project team, the consultant made a number of recommendations, which the City Administrator has discussed with the Mayor and Council. The project team has been working on creating the necessary documents and outlining the logistics that will be needed to implement changes to the performance management program.

The City currently has a Council Policy Statement regarding Pay for Performance. It was recommended that this policy be split into two components—one policy that outlines the purpose and objectives of the City's performance management program and another policy that addresses the compensation component. A proposed performance management policy is attached for your consideration. Major changes to the City's current program include the establishment of a rating scale that is defined by descriptors rather than numbers, changing the employee self-evaluation to a narrative format, requiring quarterly performance conversations with all employees, and establishing a common rating date for all employees as well as a common salary increase date. Staff is still working on the Council Policy Statement regarding compensation and will bring that forth at a later date.

Also included is a draft of a Guide for Supervisors and Employees relative to the performance management process. This is a new document that was created in conjunction with this project and is provided for your information.

RESOLUTION NO. _____

**A RESOLUTION OF THE MAYOR AND CITY COUNCIL OF THE CITY OF LA VISTA,
NEBRASKA, APPROVING A COUNCIL POLICY STATEMENT.**

WHEREAS, the City Council has determined that it is necessary and desirable to create Council Policy Statements as a means of establishing guidelines and direction to the members of the City Council and to the city administration in regard to various issues which regularly occur; and

WHEREAS, changes to the City's employee Performance Management Program are being recommended; and

WHEREAS, a Council Policy Statement entitled "Employee Performance Management Policy" has been created and reviewed by Management Education Group, the consultant engaged to assist the City in revising the performance management program.

NOW, THEREFORE, BE IT RESOLVED, that the Mayor and City Council of La Vista, Nebraska, do hereby approve a Council Policy Statement entitled "Employee Performance Management Program" and do further hereby direct the distribution of said Council Policy Statement to the appropriate City Departments.

PASSED AND APPROVED THIS 15TH DAY OF DECEMBER 2015.

CITY OF LA VISTA

Douglas Kindig, Mayor

ATTEST:

**Pamela A. Buethe, CMC
City Clerk**

**CITY OF LA VISTA
COUNCIL POLICY STATEMENT**

Employee Performance Management Policy

Issued:
Resolution No.

Purpose

The City's Performance Management Program is designed to foster a dialogue between managers and employees throughout the year in support of the City of La Vista's objectives and goals.

Objectives

The primary objectives of the performance management process are to:

1. Ensure employees perform work that accomplishes the business needs of the City of La Vista.
2. Ensure the employee is clearly aware of the performance measures and results expected for the job; including goals as prescribed.
3. Confirm employees receive ongoing feedback about how effectively they are performing relative to expectations.
4. Continually monitor employee's progress and communicate any ongoing issues to assist the employee in aligning performance with the expected outcomes for the job.
5. Acknowledge and address employee performance that does not meet expectations.
6. Assign salary increases that are consistent with the employee's performance.

Applicability

The Performance Management program shall apply to all employment positions in the City with the following exclusions:

- a. Any temporary employment position such as seasonal positions.
- b. Any employment position covered by an express employment contract, except to the extent otherwise provided in the contract.

Provisions

1. Annual Performance Management Process

The City Administrator or his/her designated representative shall be responsible for administering the Performance Management Program according to the following process:

	Annual Performance Cycle April 1 through March 31
Expectation-Setting (By April 30)	<p>By April 30 of each year, the supervisor and the employee will meet to discuss goals (if applicable) and expectations for the upcoming evaluation period. (This discussion can also take place as part of the annual evaluation which occurs in March.)</p> <p>Employees should understand the application of the City's core values to their job, the additional job-related competencies and performance goals (if applicable) as the components they will be evaluated on.</p> <p>Discussion should be documented on the Assessment Meetings Form. Goals should be documented on the Performance Evaluation Form, which will be launched on April 1st of each year.</p>
1 st Quarter Assessment (April-June)	<p>By June 30 the supervisor and employee will meet to discuss the employee's overall performance progress.</p> <p>Discussion should be documented on the Assessment Meetings Form.</p>
2 nd Quarter Assessment (July-September)	<p>By September 30 the supervisor and employee will meet to discuss the employee's overall performance progress.</p> <p>Discussion should be documented on the Assessment Meetings Form.</p>
3 rd Quarter Assessment (October-December)	<p>By December 31 the supervisor and employee will meet to discuss the employee's overall performance progress.</p> <p>Discussion should be documented on the Assessment Meetings Form.</p>
4 th Quarter – Annual Evaluation	<p>By February 1 employee completes the Performance Summary Form and submits it to the supervisor.</p> <p>By March 31 the supervisor completes the annual performance evaluation and meets with each employee.</p>

Prior to the completion of the annual performance evaluation, employees will be required to complete a Performance Summary, which shall be considered by the supervisor. This opportunity is meant to provide for open communication between the employee and the supervisor on measurements of performance.

Direct supervisors are responsible for completing employee performance evaluations. The performance evaluation shall be reviewed and approved by additional department/division supervisors, if appropriate, as well as the Department Head before presenting to the employee. After the evaluation is presented to the employee a Personnel Action Form (PAF) shall be completed and sent to Human Resources.

2. *Performance Evaluation Appeal Process*

The City believes that managers and supervisors are in the best position to evaluate an employee's work performance and work behavior. For this reason, Human Resources will not attempt to substitute its judgment for the supervisor's unless an employee can demonstrate that the evaluation was arbitrary, capricious, illegally discriminatory or not factual based on solid data. The appeal process can still be helpful, however because it involves a neutral third party who can help to facilitate a better understanding or resolve a dispute between an employee and a supervisor.

An employee who is dissatisfied with his or her performance evaluation should request a follow-up meeting with his/her supervisor to discuss the evaluation candidly, express any disagreements the employee may have with the review and provide additional information/documentation to support his/her case.

If the employee still disagrees with his/her evaluation after follow-up discussion with the supervisor, the employee may submit a formal, written appeal to the Department Head within 15 working days of the follow-up meeting with the supervisor. The appeal must include (1) a written memo stating the employee's intent to appeal and listing the specific parts of the evaluation with which the employee disagrees, explaining the nature and extent of the disagreement; (2) a copy of the performance evaluation with the employee's comments; and (3) any relevant supporting documentation.

The Department Head will review and respond in writing to the employee within 15 working days.

If the employee continues to disagree with their performance evaluation, he/she may then appeal to Human Resources within 15 working days. The appeal must include all of the information submitted on appeal to the Department Head and the Department Head's written response.

Human Resources' response to appeals of an employee performance evaluation may include some or all of the following actions:

- a. Review the evaluation, appeal, and supporting documentation.
- b. Contact the employee and/or the supervisor to obtain clarification or additional information.
- c. Contact the Department Head to obtain clarification or additional information.
- d. Collect additional information from other relevant sources.
- e. Make a decision and inform the employee in writing with a copy to the supervisor and the Department Head. If applicable, take any necessary action to implement the decision.

Human Resources shall present a final recommendation to the City Administrator for approval. This decision shall be final.

3. ***Performance Ratings***

The City's performance evaluation system is based on the following rating scale:

Exceptional – Consistently demonstrates the highest level of performance of a quality and/or quantity that provides superior results and makes additional contributions and suggestions. This rating is reserved for employees who continue to stand out in every area or for those who have consistently gone above and beyond standard expectations on their goals, competencies and the City's organizational values to achieve the highest level of results.

Note: Receipt of the "Exceptional" level of overall performance rating is rare and should be reserved for only those employees that routinely out perform all others, or where circumstances during the evaluation period allowed an employee to truly distinguish him/herself. Employees receiving this rating would typically be a small percentage of the total workforce.

Excels – Frequently demonstrates high levels of performance in terms of quality and/or quantity and makes contributions that are above and beyond what is expected. It is appropriate for employees who have achieved and frequently exceeded expectations on their goals, competencies and the City's organizational values. This rating is an indication that performance expectations have been exceeded on a frequent basis.

Successful – Is successful in meeting job expectations, performing all duties in a manner that meets performance standards established for the job. Makes ongoing contributions and is dependable.

Needs Improvement – Performance is clearly below the minimum standards of the position. Immediate improvement is required.

Note: Any employee who receives a performance evaluation with an overall rating of “Needs Improvement” will be placed on a Performance Improvement Plan (PIP) for a minimum of 90 days. A PIP is a document that may include, but is not limited to, levels of performance that must be achieved to obtain a “Successful” rating, current performance deficiencies, support that may be provided by the department or City, actions the employee must take to address the performance deficiencies, and a timeline for completion of the actions. If the employee’s performance does not improve, the employee will be subject to termination.

These ratings are applied to each of the competencies, as well as to an overall summary rating.

4. ***Performance Competencies***

All employees, regardless of level in the organization, will receive a rating and objective feedback on the City’s three organizational values:

a. Accountability

Accept responsibility for job performance, decisions, actions, behavior, and the resources entrusted to you.

b. Integrity

Keep your word, honor your commitments, practice loyalty and doing what is right.

c. Public Service

Provide high quality service through communications, teamwork, and professionalism. Practice courtesy and respect at all times.

In addition to the organizational values described above, additional job-specific competencies may be rated.

5. ***Performance Goals***

All employees at the manager level and above will be assigned SMART goals (specific, measurable, attainable, realistic, time-oriented), during the Expectation Setting meeting. Goals will factor into the employee’s overall rating and should be clearly linked to a goal in the City’s strategic plan. Establishment of goals for supervisors and individual contributors will be an option that will be decided at the department level.

6. ***Introductory Period***

Employees in their introductory period will receive feedback on a quarterly basis. In order to get new hires into the annual assessment schedule, the evaluation period for employees hired during the months of January through March will begin on April 1st (their first evaluation period will vary from 13-15 months depending on their start date). For employees hired in April through December the evaluation period will begin with their employment and the first evaluation will take place the following April (the first evaluation period will vary from 4-12 months depending on their start date). All new employees, regardless of start date and due to the variance in the initial evaluation period, will receive a pay increase on the October 1st that falls during their introductory period at a rate established by Council during the budget process.



PERFORMANCE EVALUATION SYSTEM

GUIDE FOR SUPERVISORS AND EMPLOYEES

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Performance Evaluation System (PES) Overview

The City of La Vista is dedicated to providing employees with prompt and accurate feedback about their performance. The goal of the PES is to provide guidance and feedback to employees so that they can be as productive and successful on the job as possible.

This guide has been developed to assist both supervisors and employees (regular full-time and part-time employees) in using the PES as a tool for better communication resulting in improved individual and organizational performance.

Roles in the PES

For the PES to be successful and beneficial to the City, everyone involved must play a role in the success of the system. Supervisors, employees, and the City all play a role in effective performance management. The following is a brief description of the roles each party is expected to play.

Supervisor's Role

Supervisors are expected to:

- Use the City's strategic plan as a guide for developing individual performance goals
- Clearly communicate expectations for performance to the employee
- When applicable, set realistic performance goals in conjunction with the employee
- Support employees' pursuit of their performance goals
- Meet with employees quarterly to discuss and review their performance relative to expectations including progress toward the completion of the goals, if applicable
- Adjust any goals and expectations throughout the year as appropriate and when necessary
- Objectively evaluate the employee's performance
- Solicit the employee's feedback and input prior to completing the annual evaluation
- Prepare the year-end performance evaluation using accurate and objective data
- Present the year-end performance evaluation to the employee and conduct an open and honest discussion about the evaluation
- Listen attentively to the employee's ideas and concerns

Encourage employees to maintain a personal file of their own achievements

Performance Evaluation System Overview

Continued

Employee's Role

Employees also play a role in making the PES process successful and rewarding. To get maximum benefit from the performance evaluation process, employees should:

- Actively participate in any goal setting and the quarterly performance evaluation meetings with their supervisor by offering ideas and suggestions
- Keep their supervisor informed of any problems they have reaching the supervisor's expectations or any established performance goals
- Maintain accurate documentation of their own performance achievements
- Clearly and accurately complete the Employee Performance Summary and give it to the supervisor prior to the year-end performance evaluation
- Complete the employee comments section of the performance evaluation with honest feedback

The Human Resources Department's Role

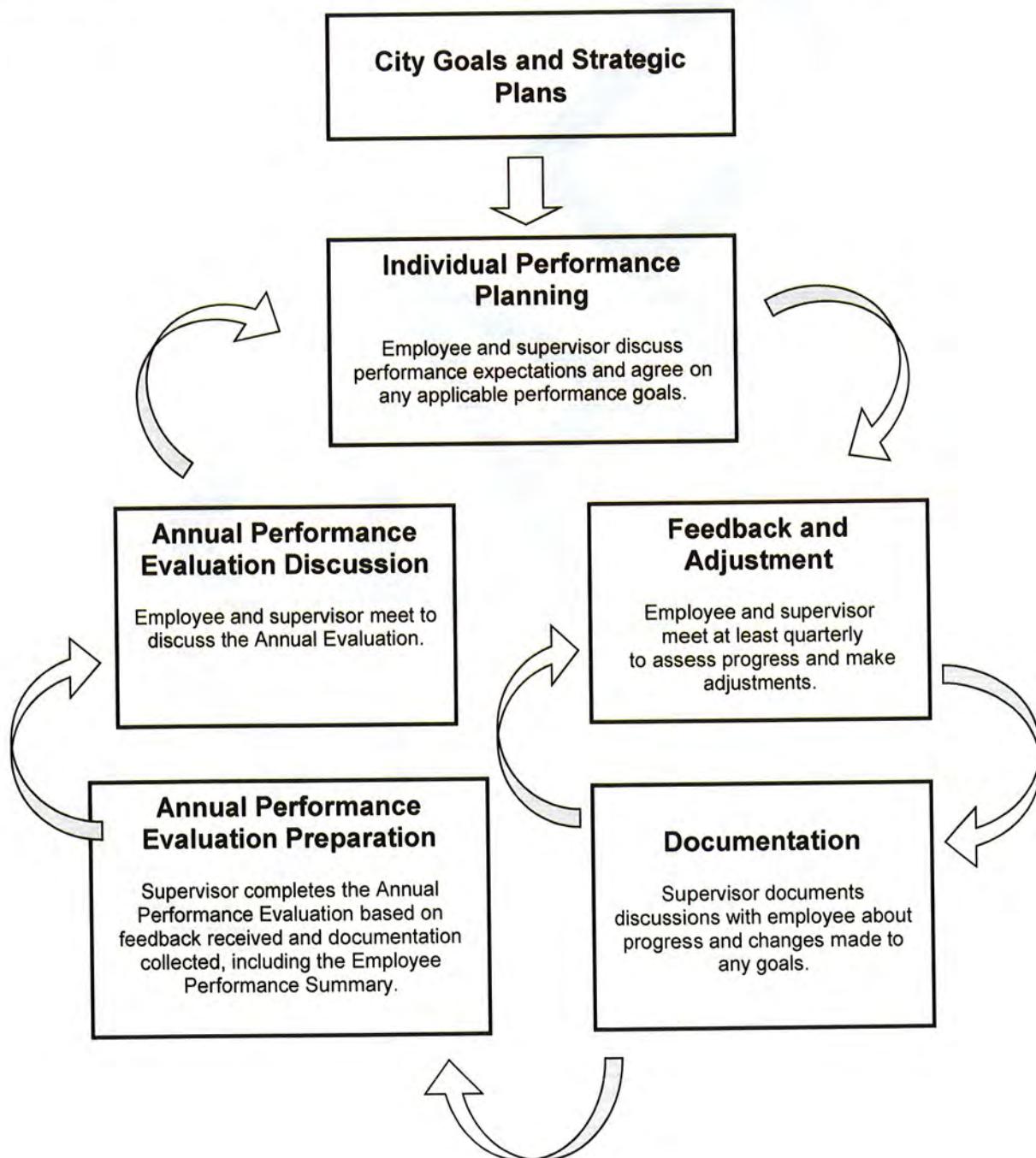
Under the direction of the La Vista City Administrator, the Human Resources Department is responsible to:

- Provide a useful and easy to understand performance evaluation system
- Clearly communicate expectations about the system through training and supplementary materials
- Give feedback and guidance to supervisors and employees as they use the system
- Maintain legally defensible employee performance files

Performance Management Cycle

The PES is designed to improve the performance management practices of the City's leaders as well as to improve individual, team, and organizational performance. It should enhance communication and allow employees and supervisors to maintain an open dialogue about performance.

Effective performance management follows a defined and complete cycle as illustrated below.



PES Process and Timeline

The PES at the City of La Vista is an annual process that has five phases: Initial Meeting and Goal-setting, First, Second and Third Quarter Assessment Meetings, and Year-End Evaluation. Meetings must be documented on the Assessment Meetings Form and signed by the Supervisor and the Employee.

Initial Meeting and Goal Setting

Supervisor and Employee meet to discuss expectations and new goals by April 30th
(This discussion can also take place as part of the annual evaluation which occurs in March.)

First, Second and Third Quarter Assessment

Supervisor and Employee meet during first quarter (April-June) to discuss year-to-date performance

Supervisor and Employee meet during second quarter (July-September) to discuss year-to-date performance

Supervisor and Employee meet during third quarter (October-December) to discuss year-to-date performance

Year-End Evaluation

Employee completes Employee Performance Summary Form for Supervisor by February 1st

Supervisor prepares draft year-end evaluation and reviews with their immediate supervisor (if applicable) and/or Department Director by March 1st

Department Director submits proposed rankings to HR for review. Outliers are reviewed by Managing Directors

Supervisor and Employee meet to review year-end evaluation, and potentially discuss next year's goals and expectations by March 31st

Completed evaluation forms are routed for appropriate signatures and submitted to HR by April 30th

Salary increases take effect on the first payday in October based on the year-end evaluation rankings and the pay matrix

PES Forms

The PES at the City of La Vista consists of six forms. Not every form is used with every employee.

- Annual Evaluation Form
- Annual Evaluation Form - Supervisory
- Annual Evaluation Form - Managerial
- Annual Evaluation Form - Executive
- Employee Performance Summary
- Assessment Meetings Form

Access to the Forms

The City of La Vista uses an electronic performance management system to facilitate the evaluation forms associated with the PES. Evaluation Forms for all employees will be launched and available to supervisors on April 1st of each year. The Employee Performance Summary and the Assessment Meetings Forms will be available electronically at all times.

Employee Performance Summary

The purpose of the Employee Performance Summary is to give the employee an opportunity to provide input to the supervisor prior to the supervisor completing the employee's year-end performance evaluation. Employees should use the Employee Performance Summary to share the highlights of their accomplishments and performance since the last evaluation. The Employee Performance Summary can also be used to convey challenges they have faced during the evaluation period or new goals they would like to propose for the next year. The Employee Performance Summary should be attached to the Annual Evaluation Form as record of the employee's input.

When completing the Employee Performance Summary, employees should keep in mind the following:

- Completing the Employee Performance Summary is an opportunity to remind the supervisor of accomplishments achieved throughout the year.
- The Employee Performance Summary is a tool for sharing expectations and thoughts, prior to the year-end evaluation.
- Providing specific examples of projects and accomplishments will make the Employee Performance Summary more valuable to the supervisor.
- The Employee Performance Summary is a great place to offer suggestions for making the job more efficient or customer-friendly.

Supervisors should not tell employees how to complete the Employee Performance Summary, nor should they complete the form for employees. Employees are encouraged to provide input through the form in their own words.

Annual Evaluation Form

The City of La Vista's PES has been designed to meet the needs of employees at all levels within the organization. To address the variety of competencies required at each level, four Annual Evaluation forms have been created. Each form has the same sections but includes different competencies depending on the level of the position being assessed. The four Annual Evaluation Forms are:

- Annual Evaluation Form – applies to most non-supervisory employees
- Annual Evaluation Form – Supervisory – applies to all supervisory employees
- Annual Evaluation Form – Managerial – applies to all managerial employees
- Annual Evaluation Form – Executive – applies to all executive employees

Each of the Annual Evaluation Forms includes: Organizational Values, Competencies, Employee Goals, if applicable, Year-End Performance Rating, and Comments. The Annual Evaluation Form will be available for supervisors to work on throughout the year beginning with the establishment of goals, the two quarterly assessments and the year-end evaluation. The following describes how each section is expected to be used.

PES Rating Scale

Throughout the form, ratings of *Needs Improvement*, *Successful*, *Excels* and *Exceptional* are used to rate Organizational Values, Competencies, Goals, and the employee's overall year-end performance. **Ratings are not required at the quarterly assessments but supervisors are expected to provide comments, document their discussion and sign the Assessment Meetings Form.** Ratings are to be applied only at the year-end performance review.

The rating scale is defined as:

Exceptional

This rating should be interpreted as consistently demonstrating the highest level performance of a quality and/or quantity that provides superior results and making additional contributions and suggestions. It is reserved for employees who continue to stand out in every area or for those who have consistently gone above and beyond standard expectations on their goals, competencies and the City's organizational values to achieve the highest level of results. **This rating means that performance expectations have been exceeded on a consistent basis.**

Note: The "Exceptional" rating is rare and should be reserved for only those employees that routinely outperform all others, or where circumstances during the evaluation period allowed an employee to truly distinguish him/herself. Employees receiving this rating would typically be a small percentage of the total workforce.

Excels

This rating should be interpreted as frequently demonstrating high levels of performance in terms of quality and/or quantity and making contributions that are above and beyond what is expected. It is appropriate for employees who have achieved and frequently exceeded expectations on their goals, competencies and the City's organizational values. **This rating means that performance expectations have been exceeded on a frequent basis.**

Annual Evaluation Form

Continued

Successful

This is appropriate for employees who are successful in meeting job expectations on their goals, competencies and the City's organizational values. They perform all duties in a manner that meets performance standards established for the job, make ongoing contributions and are dependable. **This rating means that performance expectations have been met on a consistent basis.**

Needs Improvement

An overall rating of *Needs Improvement* is intended to focus the employee's attention on improving or changing performance that is clearly below the minimum standards of the position. A rating of *Needs Improvement* on an individual goal or competency means that the goal or competency was not achieved as expected. A Performance Improvement Plan is required for an **overall** year-end performance rating of *Needs Improvement* and may be used for individual goal or competency ratings of *Needs Improvement*.

Organizational Values

The Organizational Values Section reminds us that employees at all levels are expected to consistently demonstrate behaviors which support the City's organizational values: Accountability, Integrity and Public Service. Supervisors are encouraged to provide specific, meaningful feedback to employees via the comments during the quarterly and year-end assessments to illustrate how the employee supports the organizational values. Organizational values are rated collectively on the standard PES rating scale of *Exceptional, Excels, Successful, and Needs Improvement*.

Competencies

The City of La Vista has developed a competency-based performance management model which defines the performance expectations of employees at four levels within the organization: 1) Foundational Competencies; 2) Supervisory Competencies; 3) Managerial Competencies and 4) Executive Competencies

The competency model has as its foundation three competencies that apply to all employees: **Use Technical/Functional Expertise, Communicate Effectively, Work Safely.**

Supervisors will be assessed on the foundational competencies as a whole as well as an additional three competencies that apply to their role as supervisors. The supervisory competencies are: **Foster Teamwork, Prioritize Work and Commitments, and Manage Employee Performance.**

Managers will be assessed on the foundational competencies and the supervisory competencies as a whole as well as an additional three competencies that apply to their role as managers. The managerial competencies are: **Develop Staff for the Future, Manage Financial and Human Resources Effectively, and Display Organizational Savvy.**

Executives will be assessed on the foundational competencies, the supervisory and managerial competencies as a whole as well as an additional three competencies that apply to their role as executives. The executive competencies are: **Manage to the Future, Has a Global Perspective and Display Political and Business Acumen.**

Annual Evaluation Form

Continued

A full description of the competency model, along with definitions of each competency, appears in the appendix of this guide.

Discussion regarding goals and competencies should be documented by the supervisor at the quarterly and year-end assessments. Ratings of the competencies on the standard PES rating scale of *Exceptional, Excels, Successful, and Needs Improvement* are only required at the year-end review.

Employee Goals

Goals are required to be established for employees at the Manager and Executive level. Goals for supervisors and other employees are optional and the use thereof shall be determined at the department level. The goals section is used to document and track the employee's progress on any goals. Employee goals should be derived from City-wide initiatives and linked to the Strategic Plan.

At the beginning of the evaluation period, the supervisor and employee will meet to establish goals that the employee will pursue in the coming year. Goal progress and/or goal revisions should be documented at the quarterly assessment meetings. Accomplishment of the goals will be reflected in the overall year-end performance rating.

Goals should be developed consistent with a position's responsibilities and written using the SMART format. This means that goals should be:

- S**pecific in nature – the exact activity to be pursued should be defined.
- M**easurable and/or observable – a method for determining completion of the goal must be determined.
- A**ttainable – the goal should be within the employee's reach in terms of time and resources.
- R**ealistic – the goal should be achievable within the defined rating period and the appropriate resources should be made available for the employee to successfully complete the goal.
- T**ime-oriented – the goal should have a deadline or frequency attached.

For example, if the supervisor and employee agree that the employee wants to learn more about using Microsoft Excel to track project files, they might agree on a goal like this:

Not SMART:	Attend a class on Microsoft Excel.
SMART:	Attend a training class on Microsoft Excel and use the information learned to create a spreadsheet that tracks the elements of each project by March 1 st .

Goals are rated using the rating scale that was described earlier in this guide. The end result of a goal will be *Exceptional, Excels, Successful, or Needs Improvement*. The supervisor is expected to

Annual Evaluation Form

Continued

determine this year-end rating based on the end results achieved, considering any relevant information or extenuating circumstances.

For example, if a goal is partially completed, but circumstances beyond the employee's control prevented the goal from being fully accomplished, the supervisor may still choose to rate the goal as *Successful* or *Exceeds*, depending on the employee's efforts. Just because a goal is not fully completed as initially agreed upon does not mean the year-end rating must be a *Needs Improvement*. Supervisors are expected to explain and justify each rating in the comments section for each goal.

Employee's Overall Year-End Performance Rating

Job performance is measured not only in what we do (tasks and goals), but in how we do it (competencies). Overall year-end ratings indicate the level of the employee's total performance, taking into account accomplishment of any goals and the ratings on the competencies.

The overall year-end performance rating is used at the end of the year to summarize the employee's collective performance and to assign an annual rating. The year-end performance rating is intended to serve as a review section of the employee's performance for the rating period. As such, the final rating should not include issues or concerns that have not been previously discussed with the employee.

Comments

The comments section provides an opportunity for employees and supervisors to express themselves in an unstructured way. Comments should be related to the employee's job performance and should be written in narrative form.

Supervisors are required to provide comments that summarize the overall performance on an annual basis. Examples of specific accomplishments or job activities should be included to illustrate the employee's behaviors. Supervisors are encouraged to write their comments in an informal way, as if they were writing to the employee. Comments should be conversational in tone and specific and objective in nature. When possible, the supervisor should refer to pre-determined standards or expectations.

Employees are encouraged to provide comments on the annual evaluation form, but are not required to do so. Employee comments should include mention of any work-related accomplishments that were not mentioned by the supervisor. After the initial evaluation meeting between the supervisor and the employee, the evaluation form will be routed to the employee for any comments and signature.

The supervisor and/or the employee may attach additional pages in order to have room to provide sufficient comments.

Performance Improvement Plan

The purpose of the Performance Improvement Plan (PIP) is to assist employees who are not meeting the standards and/or expectations of performance for the job. The goal of the PIP is to provide a specific plan for the employee so that they can improve their performance. The PIP is to be completed in conjunction with the Year-End Evaluation, and should include a timeline for when the employee is expected to improve performance. Should an employee not meet the criteria established in the Performance Improvement Plan, disciplinary action may be taken.

A PIP is required when an employee's overall year-end performance rating is *Needs Improvement*. A PIP may also be used, but is not required, when the rating of a specific competency or a goal is *Needs Improvement*.

Tracking Performance

Keeping track of performance on a regular basis, both as a supervisor and as an employee, is an important component of an effective performance evaluation system. This can be accomplished in a number of ways.

Supervisors will have year-round access to the evaluation forms for their employees in the electronic evaluation system. Comments can be logged directly onto the form regarding goals, observations, and may include specific examples of performance, both positive and negative, summaries of conversations you have had with the employee, and agreements that have been reached about the work. These comments and observations can then be referenced during the quarterly meeting discussions and during the completion of the annual performance evaluation.

The Employee Performance Summary Form will be available online and includes a page for employees to use to create notes regarding their performance throughout the year. These notes can then be used to complete the Performance Summary and prepare the employee to participate in the annual evaluation with specific, meaningful details.

There is also a "Notes" feature in the current electronic evaluation system that is available to all employees and can be used by both supervisors and employees to document discussions and performance examples for personal reference. The overriding theme is that all employees should be tracking their own performance in some manner and supervisors should be tracking both their own performance and that of their employees. The manner in which you choose to keep performance reference notes is not as important as the fact that you are actually keeping notes in some fashion.

Tips for Keeping Track of Performance:

- Supervisors should document various aspects of the employee's performance as suggested above. Comments can be a note about a successful citizen interaction, about an error that was made, or about a work-related conversation they had with the employee. Supervisors can make entries as often as desired/necessary but it is recommended that this be done on a regular basis and following each quarterly meeting discussion. This will result in a collection of specific information that can be used at performance evaluation time.
- Supervisors should not put anything in their comments that the employee would be surprised to see. If an observation or incident has not been discussed with the employee, it should not appear in the annual evaluation. The reference notes should be used to record factual, specific details about the work that has been discussed with the employee.
- The performance notes maintained by the supervisor are a working file, and are to be used to prepare the year-end Performance Evaluation. They are not a part of the permanent personnel record maintained by Human Resources.
- Employees can also track their own accomplishments, ideas, and concerns. This is highly encouraged and will help employees complete the Performance Summary Form and facilitate a productive annual performance evaluation discussion.

Tracking Performance

Continued

Sample Performance Notes

Employee Name: Geoffrey Giraffe, Municipal Service Worker

Supervisor Name: Carrie Cougar, Municipal Administrator

Date	Details of the Situation	Outcome, Results, or Agreement
March 1	As part of Geoffrey's orientation, I reviewed the Department's expectations for attendance and breaks. Today, Geoffrey arrived 15 minutes later than expected and took a 25-minute break from 10:00 to 10:25. Citizen calls were not returned during that time.	Geoffrey said his car wouldn't start today and will arrive on time from now on. He also agreed to limit break time to 15 minutes.
March 8	Jack Rockefeller, City Councilmember, told me he was very impressed with Geoffrey's quick response to his request for information about the remodel.	Passed the compliment on to Geoffrey.
April 10	Geoffrey is responsible for preparing end-of-month reports. Today Harry Hyena of the Public Works Department called to say that he received the report for the wrong department.	Talked with Geoffrey about the importance of paying attention while stuffing the monthly reports envelopes. He said he got distracted and made the error. He'll be more careful next time.
April 28	At our monthly one-on-one, Geoffrey agreed to a revised objective. Instead of revising the new project binder format, he will focus on consolidating plat information into the city's new database by June 30.	We modified the goal on his PES form.

Tips for Supervisors

The supervisor's role in managing performance goes beyond writing the Annual Evaluation. Below are some tips to consider in making this process easier and more beneficial for the supervisor and the employee:

- Set realistic and mutually agreed upon goals at the beginning of the rating period.
- Meet with each employee regularly to discuss their progress toward meeting the expectations for performance on the job. The City of La Vista expects that the supervisor and employee will meet at least initially, once each subsequent quarter and at year-end to discuss and document progress towards the accomplishment of goals, organizational values, and competencies.
- Regularly document the performance issues you have discussed with the employee.
- Keep a performance file that includes letters of commendation, discipline, and other performance-related notes for each employee.
- Address concerns about an employee's performance immediately. Don't wait until the last minute to convey your concerns to an employee about their behavior.
- Follow this rule: No surprises!! Regular communication with each employee will ensure that the annual performance evaluation is only a review of your previous conversations.
- When an employee is reassigned to a new supervisor mid-way through the rating period, the previous supervisor should pass any performance-related notes and files to the new supervisor.
- When a new supervisor is assigned to a group of employees, they should obtain the previous supervisor's performance-related notes and files for each of the employees they will now be supervising.
- Begin preparing the Annual Evaluation at least three weeks before it is due to ensure a timely submission of the evaluation.
- Use the employee's input from the Employee Performance Summary.
- Gather additional data relative to the employee's performance. Such information may come from other supervisors, employees, or customers of the employee. Other data may come from quantitative performance records and your supervisor's file.
- Conduct the initial expectation discussion and goal-setting, the quarterly meetings and year-end evaluation meeting in private and ensure that there will be no interruptions. Schedule adequate time to have a thorough discussion. Use open-ended questions to solicit the employee's input into the discussion. Listen more than you talk.

Tips for Supervisors

Continued

- Have a plan for performance-related discussions. Discussions without a plan are doomed to wander off the subject.
- Avoid subjective opinions or personality judgments; base your comments on facts and use specific examples to qualify your ratings.
- During the discussion about areas where improvement is needed, give the employee a chance to reveal any problems or obstacles that may keep him/her from performing at their highest level. Discuss expectations and how they can be achieved.
- Encourage employees to provide written comments, including relevant information and achievements based on performance expectations and established goals.

In addition to these tips, supervisors should be aware that there are common errors made during the rating of employees' performance. These errors are natural and part of human nature, but can be avoided by being aware of them. The following are the most common errors supervisors make when rating their employees' performance:

- **The Leniency Error**

The leniency error means that the rater evaluates everyone too easily or too high. When the leniency error is being committed, everyone rated gets a high rating. In this case, the rater is unjustifiably lenient by assigning similar ratings to an individual or to the group.

How to avoid the leniency error: Clearly justify every rating with performance examples that show why the employee deserves the higher rating. Without specific examples of exceptional performance, the employee may not deserve the high rating.

- **The Severity Error**

The severity error means that the rater evaluates everyone too critically or too low. When the severity error is being committed, everyone gets a low rating. In this case, the rater is unjustifiably strict in assigning all ratings to an individual or a group.

How to avoid the severity error: Ensure that performance standards are realistic and comparable with those of other supervisors in the same line of work.

- **The Central Tendency Error**

The central tendency error means that the supervisor does not rate anyone exceptionally high or low. All employees rated get a middle rating. In this case, the rater is unable or unwilling to assign high or low ratings to an individual who deserves such ratings. Instead, the rater "plays it safe" by using mid-scale ratings even when not justifiable by the facts.

How to avoid the central tendency error: Set clear performance standards and apply those standards to everyone being rated. If an employee exceeds the standards, reward them with higher ratings. If an employee does not meet the standards, a lower rating should reflect this performance.

Tips for Supervisors

Continued

- **The Recency Error**

The recency error, the most common rater error, occurs when the rater places too much emphasis on recent events, and does not consider the employee's performance for the entire rating period.

How to avoid the recency error: Maintain accurate and clear performance notes throughout the rating period. Frequent employee communication that is documented will help to prevent the recency error.

- **The "Halo" Effect Error**

The "halo" effect error occurs when the rater lets one favorable factor or incident distort the overall evaluation. A rater commits the "halo" effect error when they form a generally favorable impression of the employee and assigns ratings to that individual's performance based on their general impression, rather than on specific job-related behaviors.

How to avoid the "halo" effect error: By considering the full range of possible ratings, the rater can avoid the "halo" effect. Also, if the rater identifies the most prominent factor that they associate with the employee they can more easily set that factor aside and then consider other issues more fairly.

- **The "Pitchfork" Effect Error**

The "pitchfork" effect error occurs when the rater lets one unfavorable factor influence their overall rating of the employee. A rater commits the "pitchfork" effect error when they form a generally unfavorable impression of the employee and allow this impression to affect their overall rating of the employee.

How to avoid the "pitchfork" effect error: By considering the full range of possible ratings, the rater can avoid the "pitchfork" effect. Also, the rater should document individual performance examples to support their overall rating, rather than letting one overall impression determine the rating.

Tips for Employees

Employees play a critical role in the PES process. Here are some tips to make goal setting and the annual evaluation process more productive:

- Offer ideas for strategic goals you would like to pursue in the coming year.
- Take the Employee Performance Summary seriously and contribute as much specific and detailed information about your performance as possible. Include examples of your work and reminders about projects you completed throughout the year.
- Be honest in your Performance Summary. Note the highlights and the lowlights of the current year.
- Keep your own performance file. Record examples of tough projects you've completed and goals you've achieved.
- Come to the performance evaluation meetings prepared to discuss your ideas in a productive way.
- Accept positive criticism that will help you to be more effective on the job. If the supervisor does not provide specific examples of how you can improve, ask for help in a productive manner.
- Take time to write complete and thoughtful comments on the evaluation. Comments are your opportunity to have your perspectives documented. Use comments to your fullest advantage.

Writing comments related to the performance rating is sometimes challenging. Learn to respond to your review by considering these tips:

- Read the review very carefully. Don't respond immediately, but give yourself at least a day to think about the comments and ratings before you write your own comments. Nothing gets handled well in the heat of the moment.
- Acknowledge any points that you agree with.
- Use clear examples to contradict those points that you feel are not justified. Without specific and clear examples it is hard to prove your point.
- Keep a file of everything you do so that you can come up with the specific examples you'll need to discuss your performance with facts. Use the performance log to keep your notes.
- Acknowledge your supervisor, co-workers or any other people that gave you support or guidance throughout the rating period.
- Balance your comments with positive and constructive ideas.
- Keep an open mind. The Employee's Year-End Performance Evaluation is an opportunity to reflect on the past and plan for the future. Use it to your benefit.

Appendix



CITY OF LA VISTA ORGANIZATIONAL VALUES

The City of La Vista recognizes that the prosperity of our community is a direct result of the interaction, trust and teamwork between its citizens, elected officials and employees. To that end, La Vista is committed to the following organizational values:

Accountability

We will be responsible for our decisions and actions as stewards of the financial, informational, physical, environmental, and human resources entrusted to us.

- Meet or exceed agreed upon expectations
- Admit mistakes
- Admit limitations or lack of knowledge
- Recognize problems and respond appropriately

Integrity

We will maintain high ethical standards in our personal and professional conduct.

- We guard the public trust by keeping our word, honoring our commitments, practicing loyalty and doing what is right.
- Utilize work time efficiently
- Lead by example
- Maintain confidentiality
- Support the mission and vision of the City of La Vista

Public Service

We are committed to providing high quality public service to the citizens through communication, teamwork, professionalism, dedication to duty, courtesy and respect.

- Display a positive demeanor
- Cooperate with others
- Listen and value the ideas of others



Job-Related Competency Library

EXECUTIVE COMPETENCIES

- Manage to the Future
- Has a Global Perspective
- Display Political and Business Acumen

MANAGER COMPETENCIES

- Develop Staff for the Future
- Manage Financial and Human Resources Effectively
- Display Organizational Savvy

SUPERVISOR COMPETENCIES

- Foster Teamwork
- Prioritize Work and Commitments
- Manage Employee Performance

FOUNDATIONAL COMPETENCIES

- Use Technical/Functional Expertise
- Communicate Effectively
- Work Safely

Accountability Integrity

Public Service



Organizational Value, Definition & Behavioral Examples – All Levels

Organizational Value	Accountability
Level	All
Definition	We accept responsibility for our job performance, decisions, actions, behavior and the resources entrusted to us.
Behavioral Examples	<ul style="list-style-type: none"> • Meets or exceeds agreed upon expectations • Admits mistakes • Admits limitations of knowledge • Recognizes problems and responds appropriately

Organizational Value	Integrity
Level	All
Definition	We guard the public trust by keeping our word, honoring our commitments, practicing loyalty and doing what is right.
Behavioral Examples	<ul style="list-style-type: none"> • Utilizes work time efficiently • Leads by example • Maintains confidentiality • Supports the Mission and Vision of the City of La Vista

Organizational Value	Public Service
Level	All
Definition	We have a passion for public service and are committed to providing high quality service through communication, teamwork and professionalism.
Behavioral Examples	<ul style="list-style-type: none"> • Displays a positive demeanor • Practices courtesy and respect at all times • Cooperates with others • Listens and values the ideas of others



Competency, Definition & Behavioral Examples – Foundational Level

Competency	Use Technical/Functional Expertise
Level	Individual
Definition	Displays an appropriate depth of knowledge and skills as required for the position and relative to the time in the position. Produces results of the expected quality and quantity.
Behavioral Examples	<ul style="list-style-type: none"> Possesses the ability needed to perform assigned tasks Competently applies knowledge and skills to perform assigned tasks Communicates knowledge and skills in an understandable fashion Stays educated on the developments in their field

Competency	Communicate Effectively
Level	Individual
Definition	Ensures that information is successfully shared throughout the organization. Demonstrates ability to build rapport and facilitates mutual understanding.
Behavioral Examples	<ul style="list-style-type: none"> Is able to express ideas in an understandable way Participates in group discussions in a productive manner Listens to and encourages the feedback of others Acknowledges the opinions of others even if it is different

Competency	Work Safely
Level	Individual
Definition	To work in a manner that does not cause harm to themselves, others or property.
Behavioral Examples	<ul style="list-style-type: none"> Possesses and demonstrates knowledge of safe working practices Takes responsibility for personal and team safety Drives defensively Follows accepted safety procedures as prescribed in the Safety Manual



Competency, Definition & Behavioral Examples – Supervisor Level

Competency	Foster Teamwork
Level	Supervisor
Definition	Builds effective teams committed to organizational goals.
Behavioral Examples	<ul style="list-style-type: none"> • Clearly establishes team goals and objectives • Constructs teams with the right players • Keeps personal conflicts in check • Effectively delegates responsibility • Rewards teamwork and cooperation • Foster open communication between all members of the team

Competency	Prioritize Work and Commitments
Level	Supervisor
Definition	Develops short- and long-range plans that are appropriately comprehensive, realistic, and effective in meeting goals.
Behavioral Examples	<ul style="list-style-type: none"> • Establishes and monitors work plans that focus on the groups goals and objectives • Aligns work unit's goals with the strategic direction of the organization • Adjusts work plans to address priority changes • Coordinates with other parts of the organization to accomplish goals

Competency	Manage Employee Performance
Level	Supervisor
Definition	Guides employees to achieve the highest levels of performance.
Behavioral Examples	<ul style="list-style-type: none"> • Has clearly established expectations for performance • Holds employees accountable for meeting established expectations • Coaches employees to improve performance • Consistently demonstrates appreciation for a job well done • Accurately identifies strengths and development needs in others • Creates a climate in which mistakes are viewed as opportunities for learning



Competency, Definition & Behavioral Examples – Manager Level

Competency	Displays Organizational Savvy
Level	Manager
Definition	Identifies the internal and external politics of the organization; perceives organization and political reality and acts accordingly.
Behavioral Examples	<ul style="list-style-type: none"> • Displays a deep understanding of how individuals, teams and the organization function • Builds trusting relationships with political and community leaders • Establishes mutually beneficial relationships with others to accomplish goals • Builds coalitions to achieve results
Competency	Manage Financial and Human Resources Effectively
Level	Manager
Definition	Effectively applies the organization's assets. Provides expectations for resource allocation to ensure service is balanced with fiscal responsibility.
Behavioral Examples	<ul style="list-style-type: none"> • Matches resources and level of service demand for maximum effectiveness • Manages employees with strategic goals in mind • Maintains staffing levels to meet organizational needs • Considers the strategic plan when allotting resources • Ensures purchases comply with city policy • Monitors expenditures and resources to ensure spending is within budget
Competency	Develop Staff for the Future
Level	Manager
Definition	Encourages growth and career development of employees by coaching and helping employees achieve their personal best.
Behavioral Examples	<ul style="list-style-type: none"> • Clearly defines roles and responsibilities for employees • Motivates and challenges employees • Delegates appropriately • Rewards contributions • Provides feedback and coaching on a regular basis to improve performance • Recognizes employee strengths and builds upon them • Uses mistakes as learning opportunities



Competency, Definition & Behavioral Examples – Executive Level

Competency	Manage to the Future
Level	Executive
Definition	Understands and communicates a clear vision and path to the future and takes appropriate steps to guide the organization in that direction. Champions new ideas and initiatives and creates an environment that supports continuous improvement.
Behavioral Examples	<ul style="list-style-type: none"> • Challenges the status quo and champions new initiatives • Identifies efforts that will have the greatest strategic impact • Paves the way for needed change • Builds the vision with others • Maintains commitment to the vision in the face of obstacles and challenges • Spots opportunities to move the organization toward the vision

Competency	Display Political and Business Acumen
Level	Executive
Definition	Manages operations and initiatives with an understanding of the agendas and perspectives of others. Recognizes and balances the interests and needs of one's own group in the context of the broader organization and community.
Behavioral Examples	<ul style="list-style-type: none"> • Builds trusting relationships with political officials • Maintains strong ties with community leaders • When taking action, demonstrates an understanding and consideration of how the action will impact stakeholders and affected areas in the organization • Leverages influence within the community and with other organizations to benefit the City

Competency	Has a Global Perspective
Level	Executive
Definition	Recognizes and addresses issues that are outside departmental or municipal scope. Views the issues without any preset biases or limitations. Receives information objectively. Sees the "big picture".
Behavioral Examples	<ul style="list-style-type: none"> • Manages complex and changing systems • Considers problems and opportunities from a larger than departmental or municipal perspective • Aligns "big picture" strategy and tactics with local considerations • Keeps abreast of regional, national, and cross cultural influences on local business and municipal decisions and takes these impacts into account when making organizational decisions

City of La Vista

EMPLOYEE PERFORMANCE SUMMARY

EMPLOYEE NAME: _____

EMPLOYEE NUMBER _____

ASSESSMENT PERIOD: _____

The Employee Performance Summary should be completed and submitted to your supervisor by February 1st for consideration as part of the year-end performance assessment.

1. What do you consider to be your most significant accomplishments relative to your performance expectations and established goals for the current year?

2. What were your greatest challenges relative to your performance expectations and established goals for the current year? What steps did you take to address these challenges?

3. What professional and personal achievements would you like to accomplish during the next rating period? How can your supervisor help you accomplish these goals?

4. What can you do to help improve your performance in the next rating period? What can our organization do to help you improve your performance in the next rating period?

EMPLOYEE SIGNATURE

DATE

Employee Notes

For Employee Documentation and Reference
(Do not submit to Supervisor with Employee Performance Summary)

CITY OF LA VISTA
ASSESSMENT MEETINGS FORM

Employee Name:		Employee Number:	
Job Title:		Department/Division:	

Signatures

(Signatures are required throughout the PES process in the order listed below)

Initial Expectations and Goal Setting Meeting (Can be done in conjunction with the annual performance evaluation)

Comments:

Supervisor/Division Manager:	Date:
Employee:	Date:
Department Director:	Date:

Employee Name:

First Quarter Assessment Discussion

Comments:

Supervisor/Division Manager:

Date:

Employee:

Date:

Department Director:

Date:

Second Quarter Assessment Discussion

Comments:

Supervisor/Division Manager:

Date:

Employee:

Date:

Department Director:

Date:

Employee Name:

Third Quarter Assessment Discussion

Comments:

Supervisor/Division Manager:

Date:

Employee:

Date:

Department Director:

Date: