

# PERFORMANCE MANAGEMENT PROGRAM



**Maintained by Human Resources Department**

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**IMPORTANT:** This guide is intended to provide general information on the Performance Management Program (PMP). The City reserves the right to change any of the information in this guide at its discretion. In the event of any conflict between provisions in this guide and any Bargaining Unit Memoranda of Understanding (MOU), existing written City policies and procedures, or State or Federal laws and regulations, the latter shall govern.

## OVERVIEW OF PERFORMANCE MANAGEMENT

Performance Management is a year-round engagement process between managers and employees to help drive successful performance outcomes and to provide objective performance evaluations by improving productivity, promoting positive workplace behavior, training and developing staff, and providing constructive feedback on a regular and consistent basis. Richmond's Performance Management Program (PMP) is a program that provides a clear and consistent framework for establishing effective and clear goals, providing feedback and coaching opportunities, identifying development opportunities, and promoting ongoing job skills and career development. Performance management is geared to promote successful performance outcomes and to prevent or address performance issues before they escalate into more serious issues that can result in disciplinary action.



### Performance Management Objectives

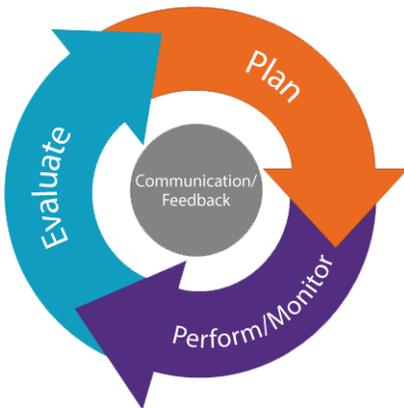
The PMP provides the framework to help employees and managers engage in mutual efforts to achieve successful performance outcomes. The key objectives of performance management include:

- **Clear Job Expectations:** Performance Management helps establish clear objectives, goals, and expectations. Employee performance plans provide balanced, credible, results-oriented measures that are specific, measurable, and time-based. When employees and

managers have a clear understanding of their work and expectations, ambiguities in the workplace are minimized.

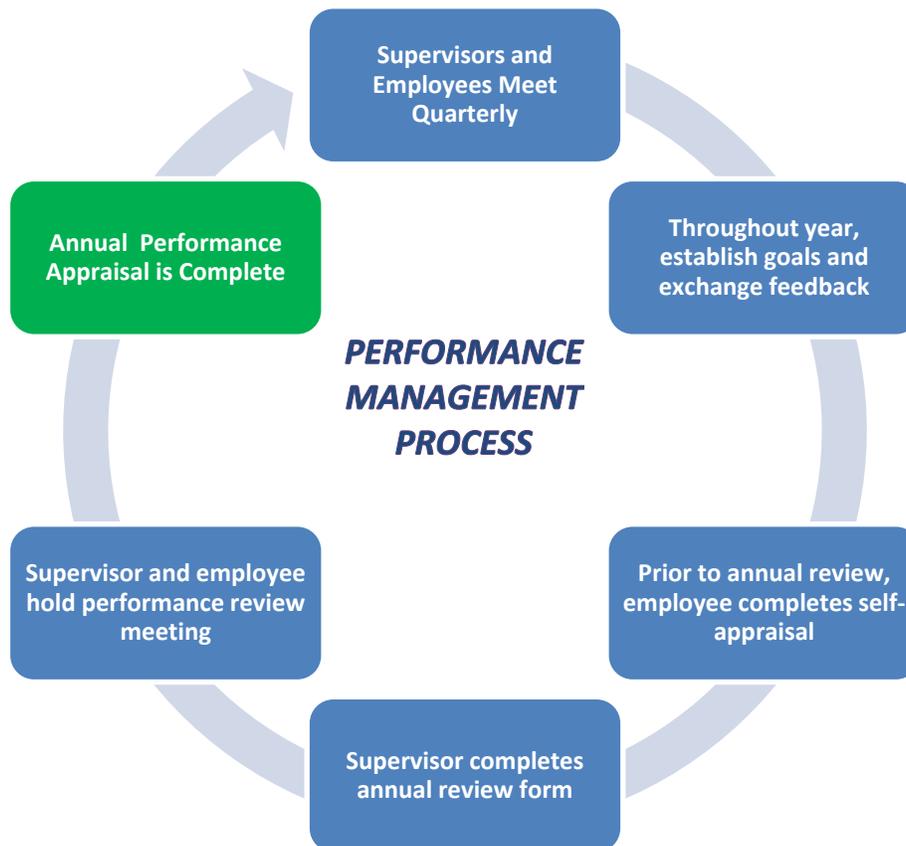
- **Alignment of Goals:** Aligning individual goals to department and city goals, and objectives, project plans, and city priorities help employees understand how their work fits into the organization - this helps clarify purpose and builds employee engagement.
- **Ongoing Feedback:** Performance Management facilitates dialog between employees and managers to improve communication in the workplace. It provides clarity with how performance expectations are being met to avoid confusion or problems.
- **Recognition for Good Performance and Achievements:** Performance Management provides ongoing opportunities to document and recognize achievements that may otherwise go unrecognized. Recognizing good performance and achievements reinforces positive work behaviors and motivates employees to sustain or improve performance.
- **Coaching to Navigate Challenges:** The PMP incorporates Alan Fine's InsideOut GROW Coaching Model to guide employees through complex challenges by way of discussion and thought-provoking questions while helping grow employees to develop innovative problem-solving skills and abilities.
- **Proactively Identify Opportunities for Performance Improvement:** Performance Management provides the opportunity for an employee and supervisor to proactively identify the need to improve performance and discuss ways to address performance issues before they escalate into more serious problems. It presents the opportunity to proactively resolve performance issues and focus on promoting successful performance outcomes and a high achieving organization.
- **Training and Development:** Performance Management helps identify development opportunities and provides the opportunity to discuss career aspirations. Performance Management helps employees gain additional training, development, and experience to enhance the employee's knowledge, skills, and abilities to perform well in their current jobs, while preparing them for succession planning purposes.

## EMPLOYEE PERFORMANCE MANAGEMENT CYCLE



The PMP is comprised of four general elements: planning, monitoring including feedback, coaching and developing, and evaluation (assessing). Performance Management is more than just setting goals and conducting performance evaluations – it is a system of ongoing engagement through feedback between a manager and employee for reaching successful performance outcomes.

Supervisors should meet with their employees no less than quarterly to establish and review goals, exchange feedback, and assess outcomes. This process will culminate with an annual, written performance appraisal.



## PLANNING AND ESTABLISHING GOALS

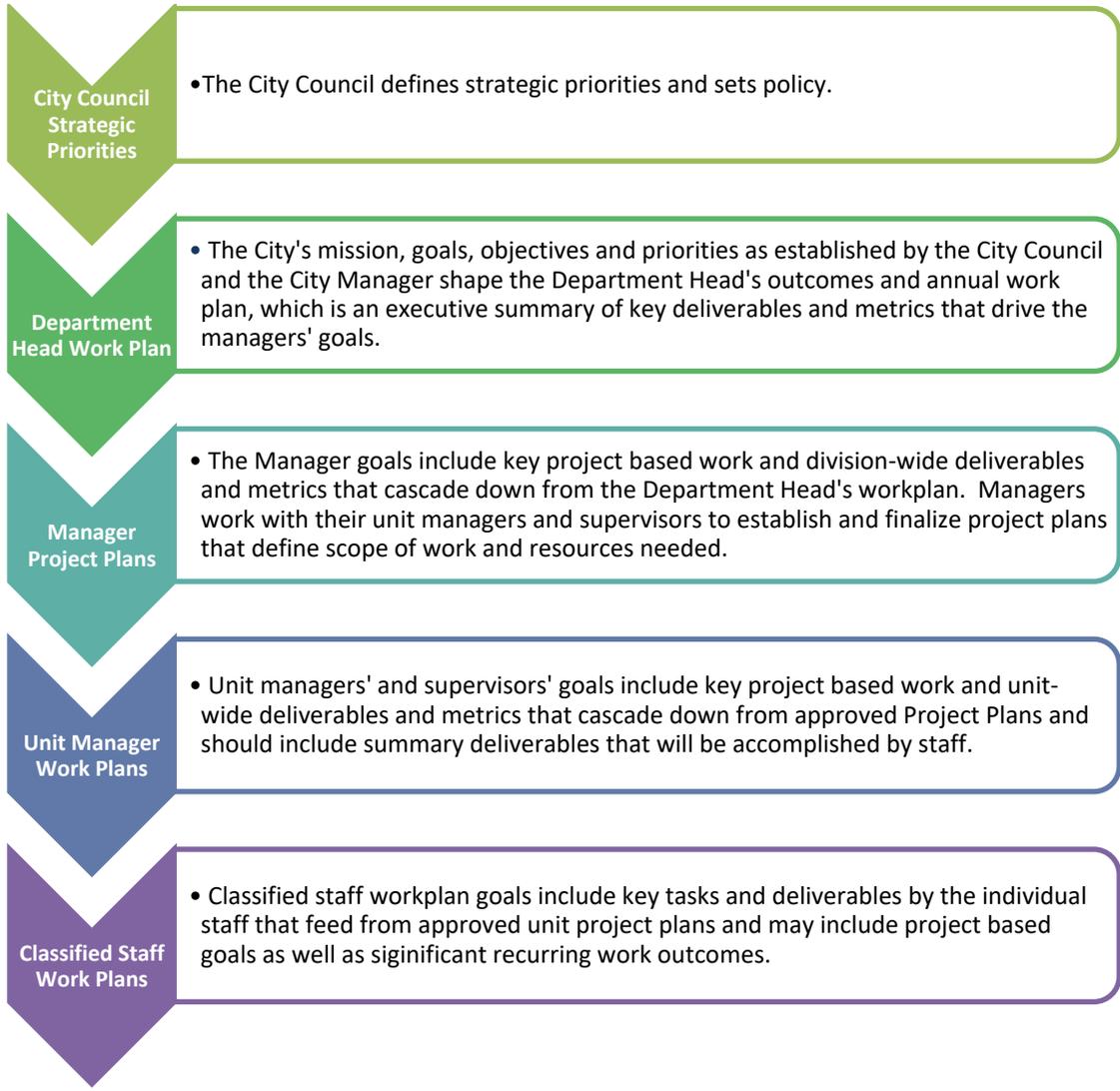
Planning is the critical foundational step in Performance Management that effectively launches the annual performance cycle. It is the process of establishing goals, expectations, and measurement, outlining the implementation plan, and allocating resources to achieve the goals. The objectives of establishing goals are to:

- Plan work for the year
- Clarify expectations and define success
- Align individual work plans with Richmond goals and objectives
- Create engagement and accountability
- Provide the basis for feedback and measurement on job performance
- Establish job related training and career development plans

### **Goal Alignment and Linkage**

Results-oriented performance systems focus on aligning individual performance with organizational goals. The work plan and goals set for each employee should be both aligned and linked to overall Richmond goals and priorities, as well as those of the individual department. It is important for employees to understand how their work efforts contribute to Richmond's overall success and to build engagement.

The diagram below outlines a cascading approach to goal development that links individual goals to the overall goals of Richmond. Ultimately, the City Council's strategic priorities drive the annual work plans for the City Manager and each Department Head. Their outcomes and annual work plans flow down into the work plans and goals of managers and classified staff.



## **The Distinction between Goals and Tasks**

In developing goals, it is important to distinguish between a task and a goal. A goal is the overall desired outcome or end state that generally requires the coordination and completion of one or more tasks to reach the desired outcome. A task is an action or act of performing an action and tasks are the individual actions that are performed to reach a goal. The sample goal and tasks below are a scaled down example that illustrates the distinction between goals and tasks and is not meant to be fully inclusive or accurate of the actual details or order of completion that would entail such a project as described below.

### **1. Sample Goal:**

- 1.1. *Design and implement a new employee Performance Appraisal System for citywide use by June 30, 2021.*

### **2. Sample Tasks:**

- 2.1. Perform a needs assessment
- 2.2. Form a committee and establish a plan including timelines and deliverables
- 2.3. Design a new performance appraisal form
- 2.4. Develop a training manual
- 2.5. Meet and confer with labor unions on new system
- 2.6. Work with IT to configure the form into Munis
- 2.7. Test the system for integrity and functionality
- 2.8. Communicate system launch date to staff
- 2.9. Train staff on the new appraisal process and how to use the new form in Munis

The overall goal is to design and implement a new employee Performance Appraisal System for citywide use by June 30, 2021. There are many significant tasks that must be completed to accomplish the overall goal. Managers and supervisors should work with their employees to set meaningful goals each year.

## **Work Goals**

Work goals represent the body of work and the defined expectations of an employee for the year. They define what work will be performed, how the work is to be accomplished, and when it will be delivered. Work goals should be established with a focus on project related or significant ongoing work. The focus of work goals should be on the most important aspects of the job. The total number of work-related goals varies, but experts typically say five (5) or six (6) meaningful goals are enough to challenge employees and keep them engaged. Per an Oracle white paper, "Goal Setting: A Fresh Perspective" (2012), "Adding more goals is likely to have a negative impact on productivity and derail the progress toward achieving any of them."

## **Training and Development Goals**

The City of Richmond believes that training and development are integral components of work performance and are inherently tied to its mission, goals, project plans, and workforce planning. The City values the potential of its employees and believes that developing employees, through education, training, mobility opportunities, on-the-job training, and coaching is critical to organizational effectiveness. The primary objectives for training and development are to:

- Promote a productive and skillful workforce capable of meeting the current and future responsibilities, service needs, and programs of the City of Richmond
- Promote constructive workplace relationships in a healthy and diverse workforce
- Promote career growth and development

There are several different categories of training and development goals as follows:

- Job Required
- Compliance training (e.g., ISO, OSHA, etc.)
- Ethics
- Form 700
- Training to obtain or renew required licenses or certifications

### **Job Related**

Job related trainings enhance performance, efficiency, or effectiveness of an employee to perform their current job. It can also be training that helps an employee stay current with regulations, practices, or technology. Examples of job-related training include:

- Formal classroom training or coursework
- Seminars, workshops, and webinars
- Self-paced training with books or computer-based training
- Health and safety training
- On the job training

## **Career Development**

Career development training provides the opportunity for employees to gain knowledge, skills, and abilities in subject matter outside of their current job for succession development and promote-ability. Examples of career development training include:

- Completing formal classroom training or coursework
- Conducting seminars, workshops, and webinars
- Engaging in self-paced training with books or computer-based training
- Seeking job rotational opportunities
- Seeking special projects and gaining on the job training
- Serving on professional committees outside of the City
- Teaching courses at local educational institutions

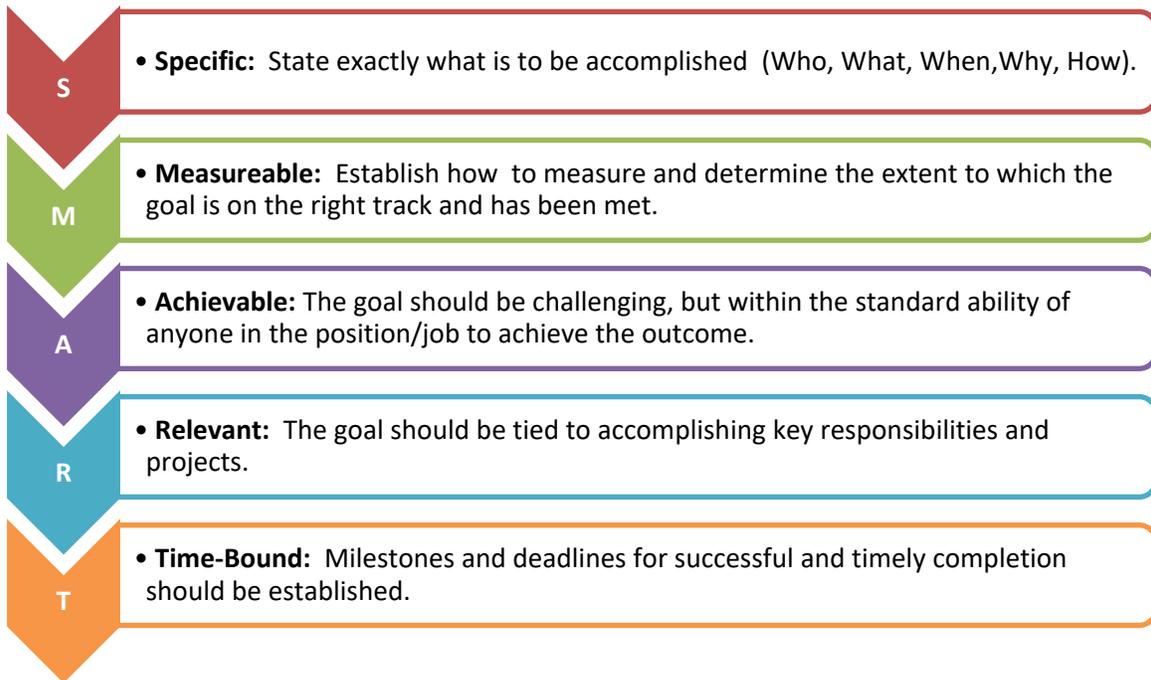
Richmond's PMP emphasizes discussion between the employee and the supervisor on the specific developmental experiences necessary for the employee to enhance on the job performance as well as career related development interests. While a manager has approval authority, it is the responsibility of both the employee and manager, working in partnership, to establish training and development goals for each employee. Employees are expected to own their performance and their careers and are accountable for developing and executing their Individual Development Plans (IDP).

## **Learning and Development Resources**

The City strives to promote a culture of continuous learning and development. Information on periodic training offered by the City is provided by Human Resources. For job specific and related training, many trade organizations and groups hold industry specific conferences, seminars, and workshops. Specialized license or certification preparation courses are available to help prepare an employee to obtain required license or certification. On the job training opportunities, special assignments, special projects, or job shadowing may be possible. Employees and managers should identify sources and providers for training and mutually commit to meeting identified learning and development goals.

## SMART Goals

**SMART** is an acronym for the five elements of an effective goal: **S**pecific, **M**easurable, **A**chievable, **R**elevant, and **T**ime-based. It's a simple methodology universally adopted to drive the development of clear and focused actionable goals. The SMART goal methodology should be leveraged to ensure effective goals are established.



### ***Specific***

Goals must be specific and clearly define the actions, events, expectations, and outcomes to minimize ambiguity and misunderstanding. Specifics help focus efforts and clearly define what is to be accomplished. Ensure all goals are specific, clear, avoid generalities, and use action verbs as much as possible. A specific goal should clarify:

- **Who:** The goal should identify the specific role, responsibility, accountability, and contributions of the individual(s) who are assigned the goal.
- **What:** The goal should identify precisely what is to be accomplished.
- **When:** The goal should have a clear due date.
- **Why:** The goal should have a reason, purpose, or benefit for accomplishing the goal.

- **How:** The goal should identify what resource(s) will be leveraged and what actions or behaviors will be taken to achieve the goal.

### ***Measurable***

Goals must be measurable to determine the extent of whether the individual is either on target, off target, or has successfully achieved a goal. Goals must be quantifiable and if they can't be measured, they cannot be managed. Measures can be stated in terms of quantity, quality, timeliness, satisfaction level, or cost. Measurability applies to both the result and the milestones along the way to attaining a goal.

### ***Achievable***

Goals should be realistic and achievable given available and adequate resources. Otherwise, it can lead to frustration, fear of failure, excessive risk taking, and short-term thinking. The individual must possess the appropriate knowledge, skills, and abilities needed to achieve the goal, and should be within the employee's realm of authority and capabilities. A goal should stretch an individual slightly and require a commitment and significant application of effort, knowledge, skills, and abilities to accomplish the goal.

### ***Relevant***

Goals should be based on the current conditions and realities. Work efforts and projects must align with the overall strategy and goals of the City and department. A clear linkage between an individual goal to a unit project plan, division goals and priorities, department outcomes and strategies, and ultimately to City Council priorities should be made to validate and clarify the relevancy of the goal.

### ***Time-Based***

Goals should be linked to a realistic timeframe. Specify when exactly each goal, and sub-task of the goals, should be completed by and establish milestone targets along the way to ensure the goal is on target of being accomplished. Time-based goals help prioritize and motivate an individual to reach their goals.

## MONITORING AND FEEDBACK

Monitoring is the process by which stakeholders obtain regular and timely feedback on performance and progress being made towards achieving their goals and objectives. After goals have been established, the next step is for employees and managers to track progress on those goals to minimize any surprises during the review process. Additionally, managers need to be aware of progress on goals and to step in with assistance, resources, or coaching when goal targets are at risk of being missed. An effective way to monitor and provide feedback is to have regular check-in meetings.

### **Quarterly Check-In Meetings**

A check-in meeting is an informal meeting for reviewing work progress and expectations, but more importantly, to open channels of communication for discussion, coaching, feedback, and support to ensure that progress towards achieving goals and expectations can be met. It is strongly recommended that check-in meetings be scheduled on a recurring basis, at minimum once per quarter. A manager should work with the employee to determine the frequency based on need. Generally, newer employees or employees with performance constraints require more feedback and support than seasoned staff. It is the responsibility of both the manager and employee to actively participate in year-round check-in meetings.

### ***Sample Check-In Meeting Questions***

A check-in meeting should review progress, metrics, show care and commitment to employee's success, provide coaching when needed. Some questions to use in a check-in meeting include:

- What is going well?
- What is not working?
- What can I do to help?
- Do you feel we on track with your development goals?
- Are there any challenges with the work goals?
- Is there anything I can help to ensure they get completed on time?

### ***Check-In Meeting Template***

- Review and update a Quarterly Action Plan
- Discuss status and any challenges with recurring day-to-day work responsibilities
- Discuss status and any challenges with in-progress project work
- Discuss pending projects and work
- Recognize and log completed work and projects

Both the supervisor and employee should keep notes regarding the meeting. It is recommended that the supervisor provide an email following the check-in meeting to provide a brief recap of the items discussed/agreed to. This method provides an opportunity for clarification, if needed.

## DEVELOPING AND COACHING

Coaching is the practice of helping others to improve their performance and is a collaborative process whereby managers and employees discuss performance goals, challenges, actively listen to each other, ask questions, and share views for the purposes of navigating the employee to successful outcomes. Coaching is an important year-round element of Richmond’s PMP that helps employees make better decisions, obtain breakthroughs with challenges, and achieve greater results that can result in organizational performance and employee engagement. Effective coaching builds trust between managers and their employees and provides for continuous learning while helping employees meet their individual performance goals. Additionally, effective coaching can:

- Strengthen communication between manager and employee
- Help the employee attain performance objectives
- Increase employee motivation and commitment
- Maintain and increase the employee's self-esteem
- Provide support

### The Difference Between Coaching and Managing

Coaching should not be confused with managing. The difference between the two is that managing is the process of directing, or telling an employee what to do, and essentially solving the problem for the employee. With coaching, a manager offers guidance, asks questions that provoke thought and problem solving, and helps the employee come up with their own solutions to solve a problem. The model below shows the continuum of directing to coaching behaviors.



The challenge with directing employees and solving their problems is that the employee misses a learning experience and the satisfaction of solving the problem and growing from the experience. Directing employees hinders critical thinking skills, suppresses innovation, harms problem solving

mentality, demotivates the employee, and can result in employees who become overly reliant on others to help make decisions and problem solve on their behalf. It is important for managers to help employees learn and grow through discussion, spur creative and innovative problem solving, and for employees to experience the rewards and growth that comes from an employee solving their own problems.

### **The GROW Coaching Model**

The PMP leverages the GROW Model of coaching to allow managers to help employees navigate through performance challenges. The GROW Model is a model that was co-developed by Alan Fine, Sir John Whitmore, and Graham Alexander. The GROW model is a time-tested model for coaching employees about goal setting and performance. It is a simple, powerful, and effective framework for providing structured and productive coaching sessions.

GROW stands for:

- **Goal**
- **Reality**
- **Options**
- **Way Forward**



To use an example of the GROW Model, think about how you would plan a long road trip. First, you decide where you want to go (Goal), then understand where you are currently and what resources you must get to where you want to go (Reality), and then explore the various options for transportation and the routes you can take to arrive at your destination and what obstacles may stop you (Options). Finally, you commit to specific actions embarking on the journey and are prepared for the obstacles that you may encounter along the way (Way Forward). The GROW Model is a coaching tool for managers to utilize to discuss and navigate performance challenges.

### **GROW Model Steps**

#### **1. Goal**

The first step of the GROW Model is getting the employee to set the goal. In the discussion, the employee should clarify what the goal and desired end state and outcome is. The goal should be SMART—Specific, Measurable, Attainable, Realistic, and Time-bound. Useful coaching questions in this step include:

- What do you want from this discussion?
- What are the consequences if you do not reach this goal?

## 2. Reality

The second step in the GROW Model is to explore the current reality to understand the background and factors that result in the present situation. This clarifies the current state of performance and whether the goal stated in the first step is still realistic. Useful coaching questions in this step include:

- What is happening?
- What have you tried so far?
- What were the results?
- What is your sense of the obstacles for you? For others?
- The final question should be - Is the goal you established still realistic?

## 3. Options

The third step in the GROW Model is exploring all options. This allows the coach and the employee to generate ideas for meeting the goal. The purpose is to explore every idea without judgment, and to help an individual narrow the list to those actions that the individual believes will reach the goal. The key is to guide the employee in the right direction without making decisions and without casting your thoughts, opinions, or judgement. The employee should do most of the talking while the coach asks, “What else?” Additional questions to explore are:

- Describe a fantasyland—if you could do anything what would you do?
- If you were the other person, what would you have to hear/see to get your attention?
- If you were watching this conversation, what would you recommend?
- Do any of these ideas interest you enough to explore further?
- If you were to do this, how might you go about this?

At the very end of exploring the options, usually when the employee states they have no more ideas, it is OK for the coach to ask for permission to share some of their thoughts. This should only be offered at the point at which the employee has nothing else to say. The coach must not cast judgement or opinions on any of the ideas the employee suggested as this would demotivate the employee and defeat the purpose of the GROW Model.

## 4. Way Forward

The fourth step in the GROW Model is to establish the way forward. The purpose of the Way Forward is to solidify commitment to one of the options, as well as identify any obstacles to the

action plan. The coach guides the employee to specific actions and gets the employee to develop and agree on a timeline for completion to ensure the employee takes responsibility for tangible, specific next steps. Useful questions to ask here include:

- Which option interest you enough to act?
- How will you go about it?
- What is a realistic deadline you can commit to?
- What might get in the way and how might you overcome that?
- What and when are the next steps?

Finally, decide on check-in dates at which the coach and the employee will review progress. This will provide accountability and allow an employee to change their approach if the original plan isn't working.

## ASSESSING AND EVALUATIONS

Performance appraisals provide for structured, formal feedback, and assessment. The PMP concludes with a formal written performance appraisal.

### Types of Appraisals

- **Annual Appraisals** – Following the conclusion of necessary probationary appraisals, each employee will be evaluated annually. Annual performance reviews are conducted for all permanent employees during October.
- **Probationary Appraisals** – During and prior to the completion of the employment probationary period, each employee is formally evaluated every three (3) months to provide counseling and to determine the employee's adjustment to the position. The final probationary evaluation should include a determination as to whether or not the employee should be retained or rejected in accordance with the MOU. Contact the Human Resources Department if a recommendation to reject the probationary employee is made. Following the conclusion of the last probationary evaluation, the employee will be transitioned into the annual appraisal schedule.
- **Special Appraisals** – Special performance appraisals may be requested for an employee any time it is deemed necessary. Some examples of these are: (1) when an employee's performance does not meet standards, or performance declines; or (2) when an employee is transferred to another supervisor or the supervisor transfers or terminates, the current supervisor should complete a formal appraisal if one has not been completed within the preceding six (6) months.

Note: All appraisals shall be submitted through the appropriate system to Human Resources for placement in the employee’s personnel record.

**General Steps in the Evaluation Process**

- |   |   |
|---|---|
| 1 | The process begins with an employee self-appraisal on the accomplishment of work goals, training and development goals, and proving comments on their professional attributes. The employee also self-identifies accomplishments, strengths, and development opportunities.   |
| 2 | The manager reviews the employee’s self-appraisal and combining their own notes on the employee’s performance over the evaluation period.   |
| 3 | The manager writes their own evaluation of the employee with feedback examples to support the ratings. The manager should have served at least 90 calendar days as the employee’s manager or supervisor. If not, they are to contact the Human Resources Analyst for instructions on completing the evaluation on a case-by-case basis.   |
| 4 | The manager schedules a meeting to discuss the evaluation with the employee, recognize accomplishments, provide feedback and coaching, and to discuss any development opportunities. <ul style="list-style-type: none"><li>○ In the event an overall Needs Improvement rating is attained, a Performance Improvement Plan (PIP) must be established to help promote performance improvements. Contact Human Resources for assistance.</li></ul> |
| 5 | The employee reviews the performance evaluation provided by the manager and signs off on the evaluation. An employee may provide comments to agree or disagree with the evaluation.   |

**PERFORMANCE MANAGEMENT SCHEDULE**

The schedule for conducting the written appraisal will vary based upon the time of appraisal being conducted (annual, probationary, or special).

**Annual Appraisals**

Annual appraisals for all City staff are conducted for the performance cycle of October 1 – September 30. Below is the typical planning schedule of events for conducting annual appraisals.

ACTIVITY	SCHEDULE
1. HR will email all employees a reminder of the annual appraisal so that employees and supervisors can prepare.	By September
2. Employee prepares for appraisal discussion by: (a) reviewing most recent prior appraisal report; and (b) completing the self-appraisal based on established performance measures including progress toward achieving personal development objectives and submitting it to supervisor.	By September 30th
3. Supervisor notifies employee of date for appraisal discussion two weeks in advance. The meeting should occur by the mid-October.	First week of October
4. Supervisor prepares the appraisal by: (a) reviewing most recent prior appraisal report(s); (b) reviewing notes supervisor has made following informal performance discussions during the appraisal period; (c) considering achievements based on established performance measures and work habits; (d) considering progress toward achieving personal development objectives; and (e) reviewing the employee's self-appraisal. Note: Supervisors' (i.e. evaluators) preparation may include discussion with the evaluator's immediate superior and or prior supervisors especially if the appraisal is the first being made by the evaluator.	Week 1-2 of October
5. Supervisor completes the initial annual evaluation for employee	Week 1-2 of October
6. Supervisor to review draft evaluation with Division Manager and Department Head.	By Mid-October
7. Provide evaluation to employee prior to meeting.	One week prior to scheduled meeting
8. Employee should review the draft evaluation prior to the scheduled appraisal discussion.	Prior to meeting
9. Supervisor and employee hold appraisal discussion that include: a. Opportunity for employee to make verbal self-appraisal comments b. Supervisor's observations on employee's strengths and weaknesses of employee's performance c. Supervisor/employee discussion of working conditions that may need improvement d. New and upcoming working conditions, service challenges, work objectives and internal/external regulations. e. Specific performance measures that need to be defined, changed and/or discussed. f. Personal development and training objectives to be pursued during the upcoming appraisal period.	By mid-to-late October
10. Following the meeting, supervisor should make any agreed upon changes to the evaluation. The employee signs the evaluation and provides written comments, if desired. Supervisor submits fully signed evaluation to HR for processing.	By the end of October.

**Probationary and Special Appraisals**

Appraisals for probationary employees shall be conducted every three (3) months for the duration of probation. Special evaluations are conducted as needed.

Below is a typical planning schedule of events for conducting a probationary or special appraisal and starts four weeks before the appraisal is due.

ACTIVITY	SCHEDULE
1. Supervisor notifies employee of date for appraisal discussion two weeks in advance.	Week 1
2. Employee prepares for appraisal discussion by: (a) reviewing most recent prior appraisal report; and (b) completing the self-appraisal based on established performance measures including progress toward achieving personal development objectives and submitting it to supervisor.	Week 2
3. Supervisor prepares for the appraisal discussion by: (a) reviewing most recent prior appraisal report(s); (b) reviewing notes supervisor has made following informal performance discussions during the appraisal period; (c) considering achievements based on established performance measures and work habits; and (d) considering progress toward achieving personal development objectives. Note: Supervisors' (i.e. evaluators) preparation may include discussion with the evaluator's immediate superior and or prior supervisors especially if the appraisal is the first being made by the evaluator.	Week 2
4. Supervisor completes the initial probationary evaluation for employee	Week 2
5. Supervisor to review draft evaluation with Division Manager and Department Head.	Weeks 2-3
6. Provide evaluation to employee prior to meeting.	One week prior to scheduled meeting
7. Employee should review the draft evaluation prior to the scheduled appraisal discussion.	Prior to meeting
8. Supervisor and employee hold appraisal discussion that include: a. Opportunity for employee to make verbal self-appraisal comments b. Supervisor's observations on employee's strengths and weaknesses of employee's performance c. Supervisor/employee discussion of working conditions that may need improvement d. New and upcoming working conditions, service challenges, work objectives and internal/external regulations. e. Specific performance measures that need to be defined, changed and/or discussed. f. Personal development and training objectives to be pursued during the upcoming appraisal period. g. Whether the employee is recommended for a step increase, if eligible.	Week 3
9. Following the meeting, supervisor should make any agreed upon changes to the evaluation. The employee signs the evaluation and provides written comments, if desired. Supervisor submits fully signed evaluation to HR for processing.	Week 4

## PREPARING FOR THE EVALUATION MEETING AND DISCUSSION

Both the supervisor and the employee are responsible for preparing for the annual appraisal. The employee will complete the Performance Self-Appraisal Form and email to supervisor approximately one month in advance of the annual appraisal. The following are general tips for employees and managers in preparing for the evaluation meeting and discussion.

Having full knowledge of assigned duties and relevant performance measures in advance, the employee should prepare for the appraisal discussion by independently making a self-assessment that focuses on achievements, areas where performance has met or exceeded standards, areas that have not met standards and needs for improvement and personal development. The employee's self-assessment need not be written, although notes can be used in the appraisal discussion. The supervisor is responsible for conducting the performance discussion in a manner that fully reveals successes, areas where improvement is needed, and strategies for improvement.

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### TIPS FOR EMPLOYEES:

- **Gather:**
  - The job description and performance standards
  - The goals set from the review period
  - Your own documentation notes, status reports, or past self-assessments
- **Take a moment to:**
  - List your main areas of responsibility
  - Areas you have done well
  - Areas you want to improve in
  - List what you would like from your supervisor
  - Compare your performance to the expectations, standards, and goals that were set
- **Writing the self-evaluation:**
  - Be comprehensive, but concise and specific
  - Be as objective, honest, and realistic as possible.
  - Identify major accomplishments
  - Identify areas for improvement
- **Questions to consider when writing the self-appraisal:**
  - Did you understand what is expected of you?
  - Were the performance standards clear?
  - What training or professional development do you need?
  - What career goals do you have and what do you need to attain those goals?

- How are relationships going with your co-workers and how can they help you?
- What could your supervisor do to help you perform your job better?

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TIPS FOR MANAGERS:

- **Gather:**
  - The employee's job description
  - Goals established for the current review period
  - Any performance documentation, feedback, or letters
  - Any current development plans
  - Previous performance review
  - Employee's self-appraisal
- **Remember, a good performance appraisal is:**
  - Consistent with ongoing pattern of informal discussion between manager and employee about the full range of performance characteristics, such as timeliness, performing the full range of duties, work quality, work habits, personal development, supervision, etc. In short, there should be no surprises when it comes time for the written appraisal.
  - A two-way dialogue including a self-assessment and opportunity for employee to provide feedback
  - Is prepared in advance and not given off-the-cuff
  - Is timely
  - Includes a plan for the employee's continued personal development and specific remedial actions for deficiencies
- **Before completing the review form, take a moment to:**
  - Consider what the employee has done well
  - List the main areas of responsibility
  - Consider what the employee may need to improve
  - Consider what you can do to help the employee do a better job
- **Before the evaluation meeting:**
  - Schedule the review meeting ahead of time and ensure it is a time both you and the employee can attend
  - Schedule the meeting in a private and quiet location free from distractions
- **During the evaluation meeting:**
  - Welcome the employee and put the employee at ease
  - Listen and take notes
  - Maintain good eye contact and attentive posture

- Reflect to the employee your understanding of what the employee said
- Don't interrupt, but ask questions only for clarification
- Be non-judgmental
- Compare the actual specific performance results and behaviors to the standards. Ask the employee for ideas about how to resolve problems
- Focus on the future, not on the past
- Emphasize strengths, as well as areas that need improvement
- Be honest
- Provide coaching to help employees navigate through performance challenges
- Discuss and establish development and training plans with the employee
- Set goals, expectations, and standards together for the next performance period
- Show support and commitment – when employees succeed, everyone succeeds
- **Closing and follow-up:**
  - Summarize the session and end on a positive note
  - After the review discussion, manager should finalize the evaluation and ask the employee to sign it for submission.
  - Finalizing the review does not mean the employee agrees with the review; it means that the review has been shared with the employee.
  - If they employee chooses to do so, they can provide a written response.
  - The employee may also formally appeal the evaluation if the overall rating is Needs Improvement or Unsatisfactory (refer to the Appeals Process section).
  - Follow-up on any planned items from the performance appraisal meeting.
  - Provide any additional training or provide other resources to the employee to help improve performance.

## PERFORMANCE RATING CATEGORIES

Performance ratings are provided during evaluations. The PMP provides rating schemes and definitions for goals and the overall performance rating.

### **Overall Performance Rating**

The Overall Performance Rating for evaluations are focused on demonstrating the professional characteristics and behaviors as defined by the City's professional attributes for the rating period, as well as the overall achievement of goals for the rating period. A manager is required to provide

supporting comments and feedback as a basis for the rating. The ratings and definitions are outlined below:

- **Exceeds Expectations:** Achieved and in some cases, surpassed performance expectations and outcomes for goals and professional attributes during the evaluation period. Demonstrated excellent knowledge, skills, and abilities in all essential areas of responsibility. The employee truly stands out and clearly and consistently demonstrates exceptional accomplishments in terms of quality and quantity of work that is easily recognized as truly exceptional by others.
- **Meets Expectations:** Achieved standard performance expectations and expected outcomes for goals and professional attributes during the evaluation period. Demonstrated acceptable knowledge, skills, and abilities in all essential areas of responsibility.
- **Needs Improvement:** Achieved, but in some cases, did not meet the standard performance expectations and expected outcomes for goals and professional attributes during the evaluation period. May not have demonstrated acceptable knowledge, skills, and abilities in all essential areas of responsibility. Improvement in one or more area is needed.  
**IMPORTANT:** *A Performance Improvement Plan (PIP) outlining development, training, or other intervention to enhance performance and proactively address performance issues **is required.***

Refer to **Appendix D: Rating Accuracy and Reliability** to understand the different types of rating biases that can occur and how to avoid them.

## ROLES AND RESPONSIBILITIES FOR PERFORMANCE MANAGEMENT

An effective Performance Management system requires a shared engagement between a manager/supervisor and employee. The following table highlights the respective roles and responsibilities in terms of each element of the PMP.

Element	Employee	Manager
<b>Planning</b> (Goals)	<ul style="list-style-type: none"> <li>• Understand job responsibilities and standards from job description</li> <li>• Share performance and professional development goals and objectives</li> <li>• Discuss and understand how your work links with division, department and overall city goals</li> <li>• Discuss and develop a clear understanding of performance expectations</li> <li>• Consider special projects or assignments</li> <li>• Actively participate in all aspects of the planning processes</li> </ul>	<ul style="list-style-type: none"> <li>• Initiate and facilitate performance planning meeting with staff</li> <li>• Share city and department goals, objectives, outcomes, and project linkage</li> <li>• Identify competencies necessary to accomplish work</li> <li>• Establish linkage between the division, department, and city goals, objectives, and outcomes</li> <li>• Review duties, job responsibilities and standards from job description with employee and clarify performance expectations</li> <li>• Share and discuss proposed work goals and discuss development goals, objectives, and expectations.</li> <li>• Encourage employee input</li> </ul>
<b>Monitoring</b> (Check-in Meetings and Feedback)	<ul style="list-style-type: none"> <li>• Track work plan and goal progress to ensure expectations are on target</li> <li>• Prepare for check-in and informal progress meetings</li> <li>• Initiate check-in meetings if not being scheduled</li> <li>• Proactively provide status of goals and indicate any challenges and needed assistance</li> <li>• Document accomplishments and any recognition received as well as any noteworthy difficulties</li> <li>• Ask for feedback on work performance from manager, clients, or peers</li> </ul>	<ul style="list-style-type: none"> <li>• Provide timely feedback to support staff in reaching their goals and objectives</li> <li>• Conduct recurring check-in progress meetings with staff as needed</li> <li>• Provide recognition for accomplishments</li> <li>• Document accomplishments and recognition received</li> <li>• Provide constructive feedback and coaching to navigate through performance challenges</li> <li>• Encourage staff member input</li> <li>• Provide enough resources to employee to complete assigned goal, or adjust as necessary when unplanned work arises</li> </ul>

<b>Developing</b> (Coaching and Development)	<ul style="list-style-type: none"> <li>• Take accountability and become the primary driver for your own development and learning</li> <li>• Assess strengths and areas for development and establish a learning and development plan</li> <li>• Determine how to improve or develop knowledge, skills, and abilities</li> <li>• Initiate development planning discussions with manager</li> <li>• Seek manager’s guidance on job specific challenges</li> <li>• Leverage coaching opportunities</li> <li>• Be open to feedback</li> </ul>	<ul style="list-style-type: none"> <li>• Facilitate development planning discussions with staff</li> <li>• Assess and identify areas of development needs with staff</li> <li>• Foster a learning environment</li> <li>• Link development plan to work plan and goals</li> <li>• Creatively plan learning opportunities</li> <li>• Manage training resources and budget</li> <li>• Coach staff to help them improve performance</li> </ul>
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Element	Employee	Manager
<b>Assessing</b> (Conducting the formal appraisal)	<ul style="list-style-type: none"> <li>• Complete self-appraisal and provide justification and support for self-ratings</li> <li>• Complete self-identification of significant accomplishments, strengths, and development opportunities</li> <li>• Attend the appraisal meeting and participate actively and cooperatively to discuss the appraisal and feedback</li> <li>• Remain open and receptive to feedback</li> </ul>	<ul style="list-style-type: none"> <li>• Complete employee appraisal, obtain input from others who provided project oversight, and provide justification and support for ratings</li> <li>• Provide comments for employee strengths and development opportunities</li> <li>• Coordinate the appraisal meetings with staff</li> <li>• Provide quality feedback and a well-managed meeting on performance</li> <li>• Provide positive reinforcement</li> <li>• Encourage staff member input</li> <li>• Review assessment with next level managers as needed</li> <li>• Discuss assessment with staff and sign the performance evaluation</li> </ul>

## PROBATIONARY GOAL SETTING AND EVALUATION PROCESS

Probation is an extension of both the selection process and performance management in that it allows for the evaluation and verification of performance under closer observation than is possible in the pre-employment period. Probation applies to the following:

- New hires
- Promotions (for current regular employees)

### **New Hires**

A new employee who is appointed to a regular position must satisfactorily complete a probationary period. Refer to the appropriate MOU for additional information regarding probation. When an employee is on probation as a new hire, the unit manager will use the PMP to develop a plan and evaluate the employee's performance. An initial probationary employee may be terminated at any time during probation. Such rejection is not a disciplinary action and not subject to the grievance procedure.

### **Promotions - For Current Regular Employees**

Promotional probation applies to regular City employees in a budgeted position who secure a promotion within the City and who have completed any previous probation (regardless of classification) at the City. A regular employee who is promoted, reclassified, or demoted to another class must satisfactorily complete a probationary period. Refer to the appropriate MOU for additional information regarding probation. The manager should use this PMP to develop a plan and evaluate the employee's probationary performance.

### **Roles and Responsibilities**

#### **Role of the Manager**

During probation period, the Manager will:

- Establish and discuss work expectations and outcomes
- Establish and discuss learning objectives with the employee
- Provide training, resources, and coaching to help the employee learn the job
- Introduce the employee to colleagues explain unit relative to the organization
- Introduce the employee to clients and key stakeholders
- Provide ongoing feedback and monitoring of performance

#### **Role of the Employee**

During the probationary period an employee will:

- Discuss and identify work expectations and outcomes
- Discuss and identify learning objectives
- Leverage training, resources, and ask questions to learn the job
- Get to know colleagues and understand your role in the unit
- Get to know clients and key stakeholders to understand their needs
- Ask for feedback on performance

## APPENDIX A: PROFESSIONAL ATTRIBUTES: OVERVIEW

The way we do our work at the City of Richmond is as important as what we accomplish – that’s the importance of professional attributes. Professional attributes are realistic, observable behaviors and characteristics that reflect how we carry out the duties and responsibilities of our jobs and how we accomplish our goals.

The following table lists the City’s professional attributes with expectations of performance characteristics and behaviors for non-management staff and mid-management staff. The table is color coded to reflect the differences for each employee group.

Measures employee’s demonstrated job relevant knowledge and essential skills, such as work practices, policies, procedures, resources, laws, customer service, and technical information, as well as the relationship of work to the organization’s mission. Also measured are the employee’s self-improvement efforts to enhance skills and knowledge and to stay current with changes impacting the job.

	NON-MANAGEMENT
<b>Job Knowledge</b>	Ability to perform job with average supervision; knowledge and well-skilled in entire job area of responsibility; demonstrates competence and engages in continuous learning.
<b>Quality of Work</b>	Produces high quality work, on-time, and with consistency, accuracy, precision and effectiveness.
<b>Customer Service</b>	Demonstrates respect, finds appropriate solutions, delivers customer service excellence to internal and external customers.
<b>Judgement</b>	Makes sound operational decisions.
<b>Initiative</b>	Takes initiative to solve problems, takes ownership, is self-reliant, and focuses on self-improvement.
<b>Work Habits and Attitude</b>	Demonstrates proper conduct; demonstrates organization and interest; works collaboratively and participates in the accomplishment of unit goals; receives constructive feedback well, maintains a positive attitude.

MANAGEMENT	
<b>Job Knowledge</b>	Technically proficient, applies creativity, works efficiently, timely, responds to complex situations effectively, embraces unanticipated projects, organizes information logically, demonstrates management competence and fosters staff development.
<b>Achieving Objectives</b>	Accomplishes a significant proportion of assigned objectives for the rating period, taking into consideration changes in priorities, overall workload and other accomplishments.
<b>Customer Service</b>	Monitors and maintains high customer service and champions customer needs.
<b>Judgement</b>	Makes sound management decisions.
<b>Leadership</b>	Builds unified team, fair, uses open and respectful dialog, effective at conflict resolution, maintains positive attitude.
<b>Performance Management</b>	Monitors team performance, participates fully in performance management process, commits to staff development.
<b>Supervising Staff</b>	The extent to which the employee effectively oversees and facilitates staff.

## APPENDIX B: PROFESSIONAL ATTRIBUTES: NON-MANAGEMENT STAFF

### JOB KNOWLEDGE NON-MANAGEMENT STAFF

The following are the general characteristics and behaviors that are expected of non-management staff as related to Job Knowledge:

- Possesses a level of job knowledge, skills and abilities to adequately perform the job independently with quality and timely results.
- Stays current with changes related to regulations, procedures, and technology in the field of expertise to maintain or enhance job skills and capabilities.
- Owns individual development goals and commitment to establishing annual development goals.

The chart below provides examples regarding the rating level of a non-management staff's behaviors and characteristics demonstrated for the Job Knowledge.

RATING LEVEL	PERFORMANCE CHARACTERISTICS AND BEHAVIORAL EXAMPLES
Exceeds Expectations	<ul style="list-style-type: none"> <li>• Possesses expert knowledge, skills and abilities for the job.</li> <li>• Highly independent, outstanding quality, ahead of deadlines.</li> <li>• Highly committed to individual development to enhance job skills.</li> <li>• Expert knowledge on developments, regulations or technology.</li> <li>• Extremely knowledgeable with safety compliance and requirements.</li> </ul>
Meets Expectations	<ul style="list-style-type: none"> <li>• Possesses adequate knowledge, skills and abilities for the job.</li> <li>• Performs the job independently, and with quality and timely results.</li> <li>• Commits to individual development to enhance job skills.</li> <li>• Keeps current with developments, regulations or technology.</li> <li>• Adequate knowledge with safety compliance and requirements.</li> </ul>
Needs Improvement	<ul style="list-style-type: none"> <li>• Minimal or insufficient knowledge, skills and abilities required for the job.</li> <li>• Lacks independence, has quality issues, fails to meet deadlines.</li> <li>• Lacks commitment to individual development to enhance job skills.</li> <li>• Not current with developments, regulations or technology.</li> <li>• Minimal knowledge with safety compliance and requirements.</li> </ul>

## QUALITY OF WORK NON-MANAGEMENT STAFF

The following are the general characteristics and behaviors that are expected of non-management staff as related to Quality of Work:

- Commitment demonstrated in the performing the basic elements of the job; the resulting work product quality; timeliness of deliverables, and effective communication and engagement with customers and business partners.
- Produces a standard quantity and quality of work for the position with quality results, accurate and substantially error-free, and completed in a timely manner.
- Communicates effectively both orally and written. Speaks and writes clearly, concisely, and presents information in a logical manner and order that's easily understood, and with diplomacy and tact.

The chart below provides examples regarding the rating level of a non-management staff's behaviors and characteristics demonstrated for the Quality of Work attribute.

RATING LEVEL	PERFORMANCE CHARACTERISTICS AND BEHAVIORAL EXAMPLES
Exceeds Expectations	<ul style="list-style-type: none"> <li>• Consistently produces work that is of highest quality, without errors.</li> <li>• Produces quantity of work above standard expectations for the position.</li> <li>• Generally, completes and delivers work ahead of time.</li> <li>• Always takes initiative and comes up with innovative solutions and ideas.</li> <li>• Consistently writes and orally communicates with clarity and conciseness.</li> </ul>
Meets Expectations	<ul style="list-style-type: none"> <li>• Produces quality work that is accurate and substantially error free.</li> <li>• Produces expected standard quantity of work without sacrificing quality.</li> <li>• Completes and delivers work on time.</li> <li>• Takes initiative and demonstrates innovation.</li> <li>• Writes and orally communicates with clarity and conciseness.</li> </ul>
Needs Improvement	<ul style="list-style-type: none"> <li>• Quality of work contains errors or inaccuracies.</li> <li>• Doesn't always produce standard expected quantity of work</li> <li>• Does not always complete work by defined deliverable times.</li> <li>• Does not always demonstrate acceptable initiative and innovation.</li> <li>• Challenges with writing or orally communicating effectively.</li> </ul>

## CUSTOMER SERVICE NON-MANAGEMENT STAFF

The following are the general characteristics and behaviors that are expected of non-management staff as related to Customer Service:

- Has enough knowledge of programs and services and helps customers enthusiastically; communicates well with customers and follows up as necessary; is professional and represents the organization positively.
- Builds strong relationships with customers; proactively reaches out to learn about customer goals and interests; stays aware of customer needs, concerns and satisfaction.
- Effectively manages customer expectations; does not promise things that they cannot deliver.
- Resolves customer concerns in a calm, positive, and sensitive manner; makes customers feel valued and appreciated.
- Responds promptly to customer questions and requests; takes responsibility for meeting customer needs.

The chart below provides examples regarding the rating level of a non-management staff’s behaviors and characteristics demonstrated for the Customer Service attribute.

RATING LEVEL	PERFORMANCE CHARACTERISTICS AND BEHAVIORAL EXAMPLES
Exceeds Expectations	<ul style="list-style-type: none"> <li>• Possesses expert knowledge of services and programs.</li> <li>• Always provides service in a friendly, professional, and helpful manner.</li> <li>• Effectively resolves complex customer service issues/requests.</li> <li>• Demonstrates consistent understanding and patience with issues and concerns.</li> <li>• Demonstrates high empathy and patience with customer concerns.</li> </ul>
Meets Expectations	<ul style="list-style-type: none"> <li>• Possesses adequate knowledge of services and programs.</li> <li>• Provides service in a friendly, professional, and helpful manner.</li> <li>• Effectively resolve general customer service issues/requests.</li> <li>• Follows through and resolves inquiries within service standards.</li> <li>• Demonstrates empathy and patience with customer concerns.</li> </ul>
Needs Improvement	<ul style="list-style-type: none"> <li>• Minimal knowledge with services and programs.</li> <li>• Is at times unhelpful in handling requests or is rude in handling requests.</li> <li>• Demonstrates challenges with resolving service issues/requests. Doesn’t effectively resolve issues.</li> <li>• Doesn’t always meet standards with follow through and resolving inquiries.</li> <li>• Doesn’t always show empathy and patience with customer concerns.</li> </ul>

## JUDGMENT NON-MANAGEMENT STAFF

The following are the general characteristics and behaviors that are expected of non-management staff as related to Judgment:

- Demonstrates effective work prioritization; makes sound decisions in the course of performing work duties; explores and considers alternatives when making decisions; accepts accountability for decisions and outcomes; and makes decisions in conformance with policies and protocols.
- Possesses clarity and understands work assignment prioritization and knows when to notify or seek assistance from manager with prioritization and completion challenges.
- Makes sound decisions based on exploring alternatives and making an optimally beneficial decision.
- Decisions made are consistent with organizational or unit policies and practices.

The chart below provides examples regarding the rating level of a non-management staff’s behaviors and characteristics demonstrated for the Judgment attribute.

RATING LEVEL	PERFORMANCE CHARACTERISTICS AND BEHAVIORAL EXAMPLES
Exceeds Expectations	<ul style="list-style-type: none"> <li>• Always prioritizes work assignments effectively.</li> <li>• Consistently makes sound and reasonable decisions.</li> <li>• Always explores alternatives &amp; implications; makes optimal decisions.</li> <li>• Always accepts responsibility for outcome of decisions.</li> <li>• Always exercises good judgment consistent with policies and protocol.</li> </ul>
Meets Expectations	<ul style="list-style-type: none"> <li>• Effectively prioritizes work assignments.</li> <li>• Makes sound and reasonable decisions.</li> <li>• Considers alternatives and implications to make optimal decisions.</li> <li>• Accepts responsibility for outcome of decisions.</li> <li>• Exercises good judgment consistent with policies and protocol.</li> </ul>
Needs Improvement	<ul style="list-style-type: none"> <li>• Is challenged with prioritizing work assignments effectively.</li> <li>• Doesn’t always make sound and reasonable decisions.</li> <li>• Alternatives and implications not always considered prior to making decisions.</li> <li>• Rarely accept responsibility for outcome of decisions.</li> <li>• Rarely exercise good judgment consistent with policies and protocol.</li> </ul>

## INITIATIVE NON-MANAGEMENT STAFF

The following are the general characteristics and behaviors that are expected of non-management staff as related to Initiative:

- Takes initiative to problem solve and handle work situations.
- Takes ownership of the job and commitment to others.
- Identifies opportunities to improve efficiencies, quality, customer service, or cost savings.

The chart below provides examples regarding the rating level of a non-management staff's behaviors and characteristics demonstrated for the Initiative attribute.

RATING LEVEL	PERFORMANCE CHARACTERISTICS AND BEHAVIORAL EXAMPLES
Exceeds Expectations	<ul style="list-style-type: none"> <li>• Always takes initiative and comes up with innovative solutions and ideas.</li> <li>• Consistently resolves unit/team problems and promotes improvements.</li> <li>• Maximizes resources, innovation/technology to streamline/improve.</li> <li>• Analyzes full dimension of complex problems.</li> <li>• Develop and implement solutions with minimal supervision.</li> </ul>
Meets Expectations	<ul style="list-style-type: none"> <li>• Takes initiative and demonstrates innovation.</li> <li>• Addresses existing and significant potential problems.</li> <li>• Suggest or assists in developing solutions individually or in a team.</li> <li>• Carries through solution implementation with routine supervision or follow-up.</li> </ul>
Needs Improvement	<ul style="list-style-type: none"> <li>• Does not always demonstrate acceptable initiative and innovation.</li> <li>• Exhibits little initiative in identifying problems, solutions, or improvements to address issues of concern.</li> <li>• Requires more than routine supervision.</li> <li>• Demonstrates inability to work individually or in a team.</li> <li>• Rarely suggests improvements.</li> </ul>

## WORK HABITS AND ATTITUDE NON-MANAGEMENT STAFF

The following are the general characteristics and behaviors that are expected of non-management staff as related to Work Habits and Attitude:

- Demonstrates proper conduct, ethical behavior, and compliance with policies and procedures such as attendance, punctuality, and safety.
- Contributes ideas, perspectives and knowledge in a constructive manner to support team goals.
- Commits to working cooperatively and collaborative in a team setting by contributing work effort, knowledge, and assistance.
- Demonstrates enthusiasm, team spirit, pride, and places high emphasis on the greater good of a team working together to achieve City and department goals.
- Establishes and maintains positive working relationships with co-workers and demonstrates respect and diversity and inclusion in communicating and working with others.

The chart below provides examples regarding the rating level of a non-management staff’s behaviors and characteristics demonstrated for the Work Habits and Attitude attribute.

RATING LEVEL	PERFORMANCE CHARACTERISTICS AND BEHAVIORAL EXAMPLES
Exceeds Expectations	<ul style="list-style-type: none"> <li>• Serves as a role model with regard to work policies and safety standards.</li> <li>• Always works collaboratively as a team member in the group and willing to assist others.</li> <li>• Demonstrates high enthusiasm and respect for fellow team members.</li> <li>• Actively participates in team meetings, contributes and shares ideas and knowledge and provides constructive feedback to team efforts.</li> <li>• Establishes and maintains strong working relationships, always treats others with respect, and promotes diversity and inclusion.</li> </ul>
Meets Expectations	<ul style="list-style-type: none"> <li>• Adheres to organizational work policies/safety rules and procedures with few exceptions.</li> <li>• Works collaboratively as a team member in the group.</li> <li>• Demonstrates enthusiasm and respects fellow team members.</li> <li>• Participates in team meetings, contributes and shares ideas and knowledge and provides constructive feedback to team efforts.</li> <li>• Establishes and maintains effective working relationships and promotes diversity and inclusion.</li> </ul>
Needs Improvement	<ul style="list-style-type: none"> <li>• Often does not meet standards in complying with work policies/safety rules and/or care of equipment.</li> <li>• Does not always work collaboratively as a team member in the group. Not always willing to help others.</li> <li>• Low enthusiasm, doesn’t always demonstrate respect for team members.</li> <li>• Doesn’t fully engage in team meetings, rarely contributes or shares ideas, or feedback provided is not always constructive.</li> <li>• Has challenges with fostering effective working relationships or does not always respect diversity and inclusion.</li> </ul>

## APPENDIX C: PROFESSIONAL ATTRIBUTES: MANAGEMENT STAFF

### JOB KNOWLEDGE MANAGEMENT STAFF

The following are the general behaviors and characteristics that are expected of management staff as related to Job Knowledge:

- Possesses management acumen and applies management principles and practices to effectively lead staff; possesses knowledge of job, regulations and compliance; possesses knowledge of City and department policies and procedures; identifies and applies industry best practices.
- Actively applies effective management principles and practices to lead and motivate staff.
- Possesses understanding of regulations and compliance, and City and department processes and practices to facilitate consistent and compliant management practices.
- Scans and explores the environment for best practices for continuous improvement.

The chart below provides examples regarding the rating level of a management staff's behaviors and characteristics demonstrated for the Job Knowledge attribute.

RATING LEVEL	PERFORMANCE INDICATORS AND BEHAVIORAL EXAMPLES
Exceeds Expectations	<ul style="list-style-type: none"> <li>• Highly effective with applying management principles and practices.</li> <li>• Possesses strong knowledge of job, regulations or compliance requirements.</li> <li>• Has strong knowledge of City and department policies, procedures and practices.</li> <li>• Identifies, considers, and implements industry “best practices.”</li> </ul>
Meets Expectations	<ul style="list-style-type: none"> <li>• Effectively applies effective management principles and practices.</li> <li>• Possesses knowledge of job, regulatory or compliance requirements.</li> <li>• Possesses knowledge of City and department policies, procedures and practices.</li> <li>• Researches and considers “best practices.”</li> </ul>
Needs Improvement	<ul style="list-style-type: none"> <li>• Minimally effective with applying management principles and practices or doesn't apply them.</li> <li>• Minimal or insufficient knowledge of job, regulatory or compliance requirements.</li> <li>• Minimal or insufficient knowledge of City and department policies, procedures and practices.</li> <li>• Rarely identifies or considers industry “best practices.”</li> </ul>

## ACHIEVING OBJECTIVES MANAGEMENT STAFF

The following are the general behaviors and characteristics that are expected of management staff as related to Achieving Objectives:

- Accomplishes a significant proportion of assigned objectives for the rating period, taking into consideration changes in priorities, overall workload and other accomplishments.
- Shows dedication to producing work of the highest quality and helps other individuals and departments achieve high levels of quality in their work.
- Offers valuable insights into issues and problems, displays originality, searches for innovation and creativity
- Encourages others to be inventive and is open to suggestions to improve operations

The chart below provides examples regarding the rating level of a management staff’s behaviors and characteristics demonstrated for the Achieving Objectives attribute.

RATING LEVEL	PERFORMANCE INDICATORS AND BEHAVIORAL EXAMPLES
Exceeds Expectations	<ul style="list-style-type: none"> <li>• Accomplishes significant portion of objectives.</li> <li>• Work and overall team output is consistently high quality.</li> <li>• Is adaptable and flexible to changing priorities.</li> <li>• Consistently displays great originality in thoughts and action and constantly searching for new ideas and procedures.</li> <li>• Consistently and proactively solves problems and demonstrates great creativity.</li> </ul>
Meets Expectations	<ul style="list-style-type: none"> <li>• Effectively accomplishes most objectives.</li> <li>• Work and overall team output meets standards.</li> <li>• Can prioritize under changing conditions.</li> <li>• Effectively solves problems.</li> <li>• Open to new ideas.</li> </ul>
Needs Improvement	<ul style="list-style-type: none"> <li>• Does not meet objectives.</li> <li>• Work quality is below standard.</li> <li>• Has difficulty prioritizing work or being flexible.</li> <li>• Does not effectively address problems or issues.</li> <li>• Is not open to new ideas, creativity or innovation.</li> </ul>

## CUSTOMER SERVICE MANAGEMENT STAFF

The following are the general behaviors and characteristics that are expected of management staff as related to Customer Service:

- Provides timely and professional service to both internal and external customers; is responsive to customer needs and requests; is always courteous to the customer and considers the needs of the customer when making decisions.
- Actively gathers and monitors information on customer satisfaction; informs staff regarding customer service levels and trends related to customer satisfaction.
- Defends customer interests and goals; acts as an advocate for the customer.
- Encourages staff to think about customers when making decisions; reminds staff that customer service is everyone's responsibility.
- Places high priority on customer needs and concerns; calls attention to issues that impact customer satisfaction; views things from the perspective of customers.

The chart below provides examples regarding the rating level of a management staff's behaviors and characteristics demonstrated for the Customer Service attribute.

RATING LEVEL	PERFORMANCE INDICATORS AND BEHAVIORAL EXAMPLES
Exceeds Expectations	<ul style="list-style-type: none"> <li>• Customer service levels consistently monitored &amp; communicated to staff.</li> <li>• Unit accountability and commitment to customer service is high.</li> <li>• Complex customer issues are consistently resolved with excellent results.</li> <li>• Effectively recognizes, celebrates, and reinforces service excellence.</li> <li>• Drives continuous improvements in customer service.</li> </ul>
Meets Expectations	<ul style="list-style-type: none"> <li>• Monitors customers service levels for the unit.</li> <li>• Provides customer service feedback to staff and drives accountability.</li> <li>• Resolves complex customer issues effectively.</li> <li>• Recognizes staff who demonstrates customer service excellence.</li> <li>• Drives continuous improvement for customer service.</li> </ul>
Needs Improvement	<ul style="list-style-type: none"> <li>• Rarely or never monitors customer service levels for the unit.</li> <li>• Rarely or never provides customer service feedback to staff for accountability.</li> <li>• Has challenges with resolving complex customer issues effectively.</li> <li>• Rarely or never recognizes staff who demonstrates customer service excellence.</li> <li>• Minimal effort for continuous improvement for customer service.</li> </ul>

## JUDGMENT MANAGEMENT STAFF

The following are the general behaviors and characteristics that are expected of management staff as related to Judgment:

- Exercises good judgment consistent with ethical, regulatory standards and City values; considers risk management and legal implications when making decisions; supports decisions with sound analysis, data and justification; makes collaborative decisions, when appropriate, to promote change management.
- Considers all alternatives and implications to identify and make optimal decisions.
- Considers ethical, regulatory and City values as well as risk management and legal implications with all decision making.
- Performs thorough analysis with quantitative and qualitative support to justify rationale for decision making and outcomes.
- Considers stakeholders needs to fortify buy-in and change management with implementation.

The chart below provides examples regarding the rating level of a management staff's behaviors and characteristics demonstrated for the Judgment attribute.

RATING LEVEL	PERFORMANCE INDICATORS AND BEHAVIORAL EXAMPLES
Exceeds Expectations	<ul style="list-style-type: none"> <li>• Always explores all alternatives &amp; implications; makes optimal decisions.</li> <li>• Always conforms to ethical &amp; regulatory standards and values.</li> <li>• Always considers risk management and legal implications.</li> <li>• Consistently supports decision making with valid data and reasoning.</li> <li>• Seeks staff &amp; stakeholder input and needs when making decisions.</li> </ul>
Meets Expectations	<ul style="list-style-type: none"> <li>• Considers alternatives and implications to make optimal decisions.</li> <li>• Conforms to ethical &amp; regulatory standards and values</li> <li>• Considers risk management &amp; legal implications when making decisions.</li> <li>• Supports decisions or recommendations with data or reasoning.</li> <li>• Makes decisions with a collaborative stakeholder approach.</li> </ul>
Needs Improvement	<ul style="list-style-type: none"> <li>• Rarely or never considers alternatives and implications when making decisions.</li> <li>• Doesn't always conform to ethical &amp; regulatory standards and values</li> <li>• Rarely or never considers risk management and legal implications.</li> <li>• Rarely or never supports decisions with data or reasoning.</li> <li>• Rarely or never makes decisions with staff &amp; stakeholder input.</li> </ul>

## LEADERSHIP MANAGEMENT STAFF

The following are the general behaviors and characteristics that are expected of management staff as related to Leadership:

- Builds a unified and engaged team through fair treatment of staff, open and respectful dialog, and effective conflict resolution.
- Remains positive in the face of challenges, is solutions oriented, and sets the tone for the unit with a “can do” attitude.
- Makes the effort to recognize staff and understand what matters in order to monitor and promote high team morale.

The chart below provides examples regarding the rating level of a management staff’s behaviors and characteristics demonstrated for the Teamwork/Leadership attribute.

RATING LEVEL	PERFORMANCE INDICATORS AND BEHAVIORAL EXAMPLES
Exceeds Expectations	<ul style="list-style-type: none"> <li>• Always encourages team thinking and shared interests and goals; motivates and influences others to accomplish desired goals</li> <li>• Is always fair to staff, builds consensus, and handles conflict effectively.</li> <li>• Highly effective at leading and facilitating meetings that promote shared ideas in a constructive and productive manner.</li> <li>• Consistently sets a positive tone for the unit staff to follow and leads the group with positive inspiration and promotes a “can do” attitude.</li> <li>• Effectively drives positive morale recognizes staff for accomplishments.</li> </ul>
Meets Expectations	<ul style="list-style-type: none"> <li>• Encourages team thinking and focuses on shared interests and goals; motivates and influences others to accomplish desired goal.</li> <li>• Treats staff fairly, builds consensus, and resolves conflicts effectively.</li> <li>• Leads and facilitates effective meetings that promote shared ideas in a constructive and productive manner.</li> <li>• Leads the unit with positive inspiration and promotes a “can do” attitude.</li> <li>• Monitors and drives positive morale in the unit; recognizes staff accomplishments.</li> </ul>
Needs Improvement	<ul style="list-style-type: none"> <li>• Rarely encourages team thinking and sharing among the unit.</li> <li>• Doesn’t always treat staff fairly, build consensus, or resolve conflicts effectively.</li> <li>• Doesn’t always effectively lead and facilitate meetings that promote shared ideas in a constructive and productive manner.</li> <li>• Doesn’t always lead the unit with positive inspiration and a “can do” attitude.</li> <li>• Doesn’t drive positive morale in the unit; doesn’t recognize staff accomplishments.</li> </ul>

## PERFORMANCE MANAGEMENT MANAGEMENT STAFF

The following are the general behaviors and characteristics that are expected of management staff as related to Performance Management:

- Monitors work and performance of team and unit.
- Conducts Performance Management including goal setting, monitoring, feedback and recognition, coaching, completing evaluations on time,
- Commits to developing staff.
- Promotes City values, acts ethically, and leads by example.

The chart below provides examples regarding the rating level of a management staff's behaviors and characteristics demonstrated for the Performance Management attribute.

RATING LEVEL	PERFORMANCE INDICATORS AND BEHAVIORAL EXAMPLES
Exceeds Expectations	<ul style="list-style-type: none"> <li>• Consistently monitors and measures unit work and performance.</li> <li>• Demonstrates high engagement and commitment to Performance Management: goal setting, monitoring, feedback and recognition, coaching, and completes staff evaluations on time.</li> <li>• Demonstrates high commitment to development of staff establishes development plans, conducts development conversations, and completes staff evaluations on time.</li> <li>• Champions diversity and inclusion and adherence to safety and health, ethical behavior, and City values.</li> </ul>
Meets Expectations	<ul style="list-style-type: none"> <li>• Monitors and measures unit work and performance.</li> <li>• Engages in Performance Management: goal setting, monitoring, feedback and recognition, coaching, and completes staff evaluations on time.</li> <li>• Engages in the development of staff establishes development plans and conducts development conversations for all unit staff.</li> <li>• Adheres to diversity and inclusion, safety and health, ethical behavior, and City values.</li> </ul>
Needs Improvement	<ul style="list-style-type: none"> <li>• Rarely monitors and measures unit work and performance.</li> <li>• Doesn't effectively engage in Performance Management, doesn't always complete staff evaluations on time.</li> <li>• Insufficient commitment to the development of staff: doesn't establish development plans or conduct development conversations with staff.</li> <li>• Doesn't always adhere to diversity and inclusion, safety and health, ethical behavior or to City values.</li> <li>• Challenges with managing and motivating a team and resolving conflict.</li> </ul>

## SUPERVISING STAFF MANAGEMENT STAFF

The following are the general behaviors and characteristics that are expected of management staff as related to Supervising Staff:

- Shows fairness and impartiality in interactions
- Demonstrates interest in employee welfare
- Elicits staff input where feasible, facilitates adaptability
- Responds to staff suggestions and complaints in a serious, sensitive, and timely manner
- Anticipates staff problems and takes preventive measures, handles corrective discipline and employee grievances
- Delegates responsibility appropriately

The chart below provides examples regarding the rating level of a management staff's behaviors and characteristics demonstrated for the Supervising Staff attribute.

RATING LEVEL	PERFORMANCE INDICATORS AND BEHAVIORAL EXAMPLES
Exceeds Expectations	<ul style="list-style-type: none"> <li>• Consistently demonstrates fairness and impartiality in interactions</li> <li>• Demonstrates high interest in employee welfare</li> <li>• Elicits staff input and encourages adaptability</li> <li>• Highly responsive to staff needs</li> <li>• Proactive in addressing problems among staff</li> <li>• Always delegates responsibility appropriately</li> </ul>
Meets Expectations	<ul style="list-style-type: none"> <li>• Demonstrates fairness and impartiality</li> <li>• Receives staff input</li> <li>• Effective at addressing staff needs and addressing problems</li> <li>• Delegates responsibility appropriately</li> </ul>
Needs Improvement	<ul style="list-style-type: none"> <li>• Rarely demonstrates fairness, may show bias or favoritism</li> <li>• Is not responsive to staff needs</li> <li>• Is ineffective in handling problems</li> <li>• Shows little to no interest in employee welfare</li> <li>• Doesn't delegate responsibility appropriately</li> </ul>

### **The Importance of Providing Effective Feedback**

A study conducted by the Corporate Leadership Council (CLC) in 2010 found that in cases where ineffective feedback occurred, the following detriments resulted for employees: lack of clarity with how to resolve performance challenges (44%), lack of motivation to improve performance (40%), and frustration and anger during feedback conversations (18%). Such negative and undesired outcomes of feedback underscore the importance of understanding how to effectively deliver feedback that drives understanding, resolution, commitment, and engagement to promote successful performance outcomes for the employee and the organization.

### **Effective Feedback Tips for Managers**

Effective feedback drives positive performance outcomes for employees and the organization. Effective feedback can be in the form of positive recognition provided in a timely manner that celebrates accomplishments, or it can be in the form of constructive feedback to clarify expectations and identify opportunities in support of an employee to navigate through performance challenges and to help the employee meet and surpass performance expectations.

There are some common elements of effective feedback. Feedback that's timely, specific, owned by the provider, understood, supportive, respectful, delivered in a supportive climate, and without surprises is most effective in driving successful performance outcomes.

#### **Timely**

- Provide feedback as close as possible when the behavior occurred, whether for recognition or to inform an individual of a performance challenge.
- Waiting until performance appraisal to address performance results in resentment for not providing adequate clarification and an opportunity to correct the problem.
- Providing kudos for excellent performance after the fact may be too little too late if that employee places a high value on recognition.

#### **Specific**

- Avoid vague generalizations when providing feedback.
- Describe the behavior in exact terms.
- Feedback should address performance in terms of measurable outcomes that were developed together.

#### **Feedback Ownership**

- Use personal pronouns such as "I" and "my" when providing feedback.
- These words enable responsibility for provider's own thoughts and observations.

- Sentences worded in this way are less likely to be interpreted as accusations than those that use the word "you," reducing the possibility of a defensive reaction by your employee.
- For example, "I feel overwhelmed when work is submitted late" versus "You always turn your work in late"

### **Respectful**

- Perception of disrespect must be neutralized for the recipient to accept the feedback.
- Provide feedback in a private setting and honor discretion.
- Feedback should be benign, beneficial, and benevolent.

### **Delivered in a Supportive Climate**

- The setting in which feedback is given as important as what is said and how it is said.
- Provide feedback in a disruption-free environment in which there is no risk of being overheard.
- Make it clear that the purpose of the feedback session is to assist your employee in achieving success.

### **Feedback with No Surprises**

- One of the best rules to follow is the principle of no surprises - if it wasn't discussed during the performance evaluation period, it probably should not appear on the performance appraisal.
- Reducing anxiety associated with the review tends to build a stronger relationship between the manager and employee.
- Surprises sprung on an employee can damage the trust and credibility of the manager.

### **Basic Dos and Don'ts of Providing Feedback**

The following are basic Dos and Don'ts of providing effective feedback:

#### **DO...**

- Be timely
- Be specific and provide clear examples
- Be open and offer suggestions
- Create the right environment
- Check for understanding and buy-in
- Recognize accomplishments

#### **DON'T...**

- Don't make it personal

- Don't give feedback only when there's a problem
- Don't rush the discussion
- Don't provide outdated feedback

### **Understanding Constructive Feedback**

It is important to understand the difference between constructive and destructive feedback and to avoid the latter. For feedback to be constructive, it must provide information, whether good or bad, to recipients in such a way that the individual remains positive about themselves and their work. Constructive feedback serves to build things up, not break things down. It also shows respect, builds trust, and lets an employee know the manager cares.

The following are tips for providing constructive feedback:

1. **If you can't think of a constructive purpose for giving feedback, don't give it at all.**  
If the feedback does not serve any clear purpose in helping the employee or situation, it is likely to worsen the problem.
2. **Focus on description rather than judgment.**  
Describing behavior is a way of reporting what has occurred, while judging behavior is an evaluation of what has occurred in terms of right or wrong. Avoiding evaluative language reduces the need for an individual to respond defensively.
3. **Focus on observation rather than inference.**  
Observations refer to what you can see or hear about an individual's behavior, while inferences refer to the assumptions and interpretations you make from what you see or hear. Focus on what the person did and your reaction.
4. **Focus on behavior rather than the person**  
Refer to what an individual does rather than on what you imagine she or he is or should be. When focusing on behavior, use adverbs which describe action, rather than adjectives, which describe qualities.
5. **Provide a balance of positive and negative feedback**  
If only positive or negative feedback is provided, a distrust of the feedback can ensue, and it will become useless.
6. **Be aware of feedback overload.**  
Select two or three important points and offer feedback about those points. Otherwise, overload with feedback may occur and may confuse the individual.

Destructive feedback on the other hand, focuses on an individual's personal traits and character, rather than on behavior and objective, supporting facts. This type of feedback is often perceived as a personal attack by the receiver and rarely benefits anyone. Although a person who provides

such feedback may feel better once they've gotten it off their chest, a person receiving the feedback will be focused on their feelings, such as anger, towards the provider, rather than on the actual feedback.

### **Providing Negative Feedback**

While it is wonderful to provide recognition and positive feedback for accomplishments and the attainment of milestones and goals, and individuals generally welcome this form of feedback, there are instances that warrant discussions where performance falls short of expectations. Negative feedback is far more challenging to administer. Whether feedback is positive or negative, the goal is to improve the behavior or performance of the other person to bring out the best. The following are tips to consider in effectively communicating negative feedback:

1. **Make Negative Feedback a Rarity:** A work environment that is filled with constant criticism and complaints is likely to result in a work environment with low morale and low productivity. Any negative feedback should be tempered with positive reinforcements.
2. **Don't Stockpile Negative Feedback:** Feedback, both positive and negative is most effectively administered in a timely manner when the performance has just taken place. Stockpiling problems and unleashing a barrage of negative feedback is likely to result in overwhelming and frustrating an individual. Never use feedback to vent.
3. **Focus on Behavior and Never Personality:** Tie negative feedback only to behaviors and that can be improved. Never tie negative feedback to an individual's personality, otherwise, it will be perceived as an attack.
4. **Don't Email Negative Feedback:** Email is perhaps the worse way to communicate negative feedback. Emails are easily misconstrued and remove the opportunity for instant feedback and clarification – it allows emotions to possibly boil. People who avoid confrontation are often tempted to use email as a vehicle for negative feedback.
5. **Balance with Positives:** Effective feedback focuses on the positive while identifying areas for further growth and better outcomes. Starting the feedback session on the right footing with positives allows the individual to understand that the feedback is not an attack and the feedback is objective.
6. **Effective Listening:** Feedback is a two-way communication. Effective feedback requires paying attention, empathizing, appreciating vantage points, and helping to move towards a learning and development mode to move beyond the performance challenge.
7. **Coach the behaviors you would like to see:** Negative feedback is useless without a model for how to do better. But simply telling the other person what to do or how to do it is usually a waste of time. Instead, use this tried-and-true coaching method, which is based upon what top sports coaches do.

## The Importance of Recognition

Recognition is an important form of feedback – it informs an individual that their performance is valued, and it can build confidence, commitment, and lead to greater job satisfaction. Managers must know how to qualify performance and recognition. If recognition is used in the wrong way, it becomes meaningless. To ensure recognition is used correctly, recognition must be:

- **Deserved:** If the results or efforts are not worthy of recognition, then don't, as it will only create cynicism among all employees and diminish the recognition.
- **Genuine:** The recipient and others must perceive the recognition as genuine, and not for show. The recognition must be sincere and the actions leading up to the recognition must match the recognition.
- **Specific:** To be meaningful, recognition must be specific. It must be clear as to what specific actions, behaviors or accomplishments are deserving of the recognition.
- **Individualized:** Understand what form of recognition each staff prefers. We're all different and like to be treated as such. Some may like public recognitions, while others may feel deeply embarrassed or uncomfortable.
- **Continuous:** Recognize and reward those behaviors of which you want to see more. Managers should make it as part of their daily routine to catch employees in the act of doing something right, then recognizing them for it.

Although recognition is a huge motivator for employees, it is also important to remember that not all employees are the same and that some people like to be recognized in different ways. While one person might appreciate recognition in front of a group of peers, another employee may not. Therefore, it's important for managers to identify what motivates each staff and recognize each, where feasible, in ways that will be most meaningful and beneficial to them. Otherwise, recognition that is not meaningful to an employee will not be successful in motivating them.

The following are some simple ways to provide recognition:

- Simple thank you for a job well done.
- A written note or memo of recognition for the employee's file.
- Recognition of accomplishment or performance in a peer, group, or social setting.
- Providing an On the Spot Award to the employee.
- Nominating the employee for an Employee Recognition Award.

Per a Watson Wyatt study, 43% of employees across organizations in the United States feel they don't receive the guidance they need to manage their performance. Knowing how and when to provide and receive feedback is a crucial factor in effective Performance Management - far too often, key opportunities to enhance workplace effectiveness through feedback and discussions are

missed. In most organizations, feedback is given too infrequently or fraught with challenges, such as the emotional element of feedback, particularly when it is negative, creates challenges to deliver and receive feedback successfully.

The PMP rating process is intended to provide ratings that accurately reflect the level of achievement of defined goals and expectations for the performance of job duties. Rating accuracy and reliability are important elements to the PMP rating process. Employees expect performance evaluations to be accurate and reliable - without either, employees' trust or perception of value in the performance appraisal process erodes.

### **Rating Accuracy and Reliability**

**Rating accuracy** occurs when the application of a performance appraisal rating system consistently and objectively measures employee performance - the ratings provided factually support and are truly reflective of the employee's performance and achievement of defined work goals, training and development goals, and demonstrated competencies.

**Rating reliability** occurs when the same exact performance and achievements of an employee are consistently measured, valued, and rated the same throughout an organization. In other words, the same rating outcome should result if repeated and applied by other raters.

Rating accuracy and consistency requires:

1. Clear, understandable, and comprehensive performance appraisal guidelines;
2. Training and resources for managers and employees;
3. Raters possessing a clear understanding of rating definitions and application;
4. Raters having a clear understanding of the work, accomplishments, and developmental needs of the employee;
5. Raters providing a comprehensive review and consideration of the entire body of work and achievements within the defined rating period;
6. Rating justifications that are supported through clear examples; and
7. An understanding and avoidance of rating biases.

### **Rating Biases**

A performance appraisal rating bias occurs when an appraiser allows "their impressions of employees or their personal feelings about them to dominate the performance rating process" (SHRM, 2009). As noted in the previous section, rating bias is detrimental to the performance appraisal process by negatively affecting rating accuracy and reliability. It is important to understand and remove all rating biases from the performance appraisal process. The following are common rating biases:

- **Halo or Horn Effect:** Psychologist Edward Thorndike first coined the phrase Halo Effect in his 1920 article, “The Constant Error in Psychological Ratings”. The halo effect is a type of cognitive bias in which our overall impression of a person influences how we feel and think about his or her overall character – this leads to rating an individual’s performance based on the raters perceived positive (Halo) or negative (Horn) impressions of an individual.
- **Leniency or Harshness Effect:** Leniency effect occurs when a rater demonstrates the tendency to rate very leniently. The opposite, a tendency to rate very strictly, is known as the harshness effect. Some raters may take the path of least resistance by rating everyone very high, whereas other raters may overly focus on the drawbacks of the individual and conduct the assessment in an excessively severe manner. If everyone is rated too high, the system does not differentiate among employee performance. If everyone is rated too low, the system can frustrate and de-motivate employees, especially high performers.
- **Recency Effect:** Recency effect occurs when the most recent behavior or accomplishments primarily influence an employee’s job performance rating, and in effect, ignoring the commonly demonstrated behaviors or accomplishments during the entire appraisal period. The recency effect more likely occurs when managers and employees do not have frequent discussions or documentation or records of ongoing accomplishments and work progress throughout the performance cycle. The issue with the recency effect is that the successes or issues an employee had immediately preceding the performance evaluation takes priority in the appraisal.
- **Central Tendency Effect:** Central tendency effect occurs when a supervisor rates all employees as average performers and generally occurs when managers don't want to have to justify their ratings. This bias may also occur when the manager lacks knowledge about the employee being evaluated or the specifics of the person's job. In either case, central tendency effect is detrimental to the integrity of the performance evaluation rating process. Central tendency effect frustrates high performers, and masks performance issues for employees in need of improvement and development.
- **Personal Bias:** Personal bias occurs when a rater displays a tendency to rate an individual higher based on factors such as friendship and personality. Personal bias also occurs when the rater finds the individual pleasing of manner and conforms to the rater’s personal standards, such as values, interests, communication style, and even appearance. Personal bias is often perceived as favoritism and the integrity of both the Performance Management system and the manager is questioned. Issues with team dynamics stemming from perceptions of unequal treatment are likely to afflict a group where personal bias exists.
- **Contrast Effect:** Contrast effect occurs when a rater allows an extremely high or low performing employee, within a group, to become the standard by which other employees

in the group are judged. For example, a manager has just rated an outstanding performer and is now evaluating an individual who is also a good performer but a clear contrast and differences between the work efforts, achievements, and abilities between the two. This significant difference in performance or employee competencies could lead the manager to rate the second individual as an average performer. Rating an employee based on the performance of others, rather than defined rating criteria tied to actual performance outcomes and achievements may result in rating outcomes that are either too lenient or harsh.

### **Self-Rater Bias**

Employees are expected to conduct self-evaluations with their mid-year and year-end evaluations. Self-rater bias can occur when an individual's self-evaluation in Performance Management is not objectively based on accomplishments. It is important to recognize that self-ratings generally entail a combination of our personality, our culture, and our norms. Thus, we may have as much trouble seeing ourselves and our accomplishments objectively as we do see those of others. Employees can overrate and underrate their own performance - both can be damaging. Individuals, who have personality or cultural tendencies to be humble and not boast, not take credit for other's work, place greater value on team accomplishments, or who tend to be judgmental about themselves may tend to underrate. The individual can be a stellar performer, yet, rate themselves average. It is important for self-raters to avoid the forms of bias as well as personal and cultural values in the self-rating process and apply the rating criteria objectively towards quantifiable or documented accomplishments and outcomes. It is also important for managers to recognize self-rater bias may exist and to provide objective ratings that may not concur with the self-rater's personal evaluation. The key is to clearly explain and justify ratings with objective based details to support the rating.

### **Avoiding Rating Biases**

Given the negative consequences of introducing rating bias into the EDPP, it's important to understand some keys to avoiding rating biases:

- Understand rating definitions and objective application based on actual work accomplishments during the entire evaluation period;
- Understand the different forms of rating biases;
- Be self-conscious of personal perceptions and values and refrain from interjecting those into the rating process;
- Managers and employees engage in ongoing performance monitoring and feedback throughout the year; and

- Ongoing documentation of accomplishments and performance progress to support ratings.

It is important to provide accurate and reliable ratings that accurately reflect the level of defined expected work achievements and outcomes.

## APPENDIX F: GLOSSARY OF TERMS

- **Attributes:** Realistic, observable behaviors and characteristics that reflect how we carry out the duties and responsibilities of our jobs as well as how go about accomplishing our goals.
- **Career Related (development goal):** A development goal not directly related to maintaining or enhancing job knowledge, skills, or abilities for the current position, but rather, for geared to learning a new job or functional area as related to career aspirations.
- **Cascading Goals:** The process of translating and tying goals from one level of the organization to the next. Cascading goals help employees at all level understand how their work ties into the City's overall mission and goals.
- **Central Tendency Effect:** A rating bias which occurs when a supervisor rates all employees as average performers.
- **Contrast Effect:** A rating bias which occurs when a rater allows an extremely high or low performing employee, within a group, to become the standard by which other employees in the group are judged.
- **Coaching:** An integral development component of the Performance Management Cycle, coaching is a methodology that allows managers to navigate employees through complex challenges by way of discussion and thought-provoking questions, and helps employees develop innovative problem-solving skills and abilities.
- **Constructive Feedback:** Feedback that provides information, whether good or bad, to recipients in such a way that the individual remains positive about themselves and their work. Constructive feedback serves to build things up, not break things down. It also shows respect, builds trust, and lets an employee know the manager cares.
- **Customer Service:** A professional attribute that focuses on commitment to delivering high quality of service to our clients, in a professional, timely, and courteous manner.
- **Feedback:** Information provided to an employee regarding their performance. Feedback can take various forms, including recognition and constructive feedback. It can be provided both informally through discussions or recurring touch base meetings, or formally through the mid-year check in and year-end evaluation. Feedback is meant to provide an employee with accurate and actionable information.
- **Goals:** Defined as an end toward which an individual directs specific effort. A goal is specific - outcomes to be achieved are measurable, and timeframes, parameters and guidelines are defined. Goal setting is an important component of our Performance Management program. An organization that makes it a priority to establish quality, effective goals will tend to succeed in its Performance Management, in its business, and in developing employee skills and confidence.
- **GROW (model for coaching):** A time-tested model for coaching employees about goal setting and performance. It is a simple, yet powerful and effective framework for providing effective, structured coaching sessions. The GROW model stands for: Goal, Reality, Options, and Way Forward.

- **Halo (or Horn) Effect:** A rating bias which occurs when our overall impression of a person influences how we feel and think about his or her overall character – this leads to rating an individual’s performance based on the raters perceived positive (Halo) or negative (Horn) impressions of an individual.
- **Job Knowledge:** A professional attribute in which expectations are defined for employees to possess enough knowledge, skills, and abilities to perform the assigned job.
- **Job Related (development goal):** Job specific training and development are geared to enhance the knowledge, skills and abilities related to the employee’s current job. Such training and development can be geared towards gaining new skills and knowledge, or as a refresher to maintain current skills and knowledge. Managers may assign job specific training and development goals.
- **Job Specific (development goal):** Training that is required for the job as related to compliance, regulations, policies, ISO, health and safety, any training mandated by laws to maintain job required licenses, etc.
- **Judgment:** A professional attribute that generally entails effective work prioritization, making sound decisions, exploring, and analyzing alternatives when making decisions, and making ethical decisions in conformance City values, policies, and protocols.
- **Leniency or Harshness Effect:** A rating bias which occurs when a rater demonstrates the tendency to rate very leniently. The opposite, a tendency to rate very strictly, is known as the harshness effect.
- **Manager:** A represented Executive or Mid-Manager at the City of Richmond.
- **Professional Attributes:** Realistic, observable behaviors and characteristics that reflect how we carry out the duties and responsibilities of our jobs as well as how go about accomplishing our goals.
- **Performance Appraisal:** An appraisal of employee performance to provide recognition for accomplishments, formal feedback on the degree of goal attainment and performance expectations, and to identify development opportunities.
- **Performance Improvement Plan (PIP):** A performance development plan that is established in the event an overall Needs Improvement or Unsatisfactory rating is provided. It is a tool used to help identify areas for improvement and a development plan to help support an employee in achieving goals and performance expectations.
- **Performance Indicators and Behaviors:** A series of specific behaviors or action statements as related to a professional attribute. Performance indicators and behaviors provide clarity on expectations that guide accurate and reliable ratings.
- **Performance Management Cycle:** A closed loop system of year-round feedback and development activities between a manager and employee to support successful performance outcomes. The activities include goal setting, monitoring and feedback, coaching and development, layered between formal mid-year and year-end evaluations.
- **Performance Management Elements:** The components of a Performance Management system that includes planning, monitoring, developing, and assessing.

- **Personal Bias:** A rating bias which occurs when a rater displays a tendency to rate an individual higher based on factors such as friendship and personality. Personal bias also occurs when the rater finds the individual pleasing of manner and conforms to the rater's personal standards, such as values, interests, communication style, and even appearance.
- **Project Plan:** A Word document used for the development of a given project's budget that provides a brief description of the project, including what is to be accomplished, why it is being done, and the key work items to be accomplished.
- **Rating:** The ratings include: Exceeds Expectations, Meets Expectations, Needs Improvement – these are used to provide a rating on each professional attribute and an overall rating on an employee's appraisal.
- **Rating Accuracy:** Occurs when the application of a performance appraisal rating system consistently and objectively measures employee performance - the ratings provided factually support and are truly reflective of the employee's performance and achievement of defined work goals, training and development goals, and demonstrated competencies.
- **Rater Bias:** Occurs when a performance evaluation appraiser allows their impressions of employees or their personal feelings about them to dominate the performance rating process, thereby negatively affecting the accuracy of the rating.
- **Rating Reliability:** Occurs when the same exact performance and achievements of an employee are consistently measured, valued, and rated the same throughout an organization. In other words, the same rating outcome should result if repeated and applied by other raters.
- **Recency Effect:** A rating bias which occurs when the most recent behavior or accomplishments primarily influence an employee's job performance rating, thereby ignoring the commonly demonstrated behaviors or accomplishments during the entire appraisal period.
- **Recognition:** A form of feedback in which a staff member receives positive recognition for their accomplishments. Recognizing good performance and achievements motivate employees and reinforce positive work behaviors and motivates employees to sustain or improve performance that can lead to future career advancement.
- **SMART Goals:** An acronym for the five elements of an effective goal: specific, measurable, achievable, relevant, and time-based. It's a simple methodology universally adopted to replace fuzzy goal setting with clear and focused actionable plans for results.
- **Supervisor** – A person who provides direct supervision and is the author of subordinate goals and evaluations.
- **Teamwork:** A professional attribute in which City staff is expected to work cooperatively, collaboratively, respectfully, and with engagement in support of team and overall goals.
- **Training and Development Goal:** Training and development goals center on the goals that help the individual maintain or enhance job specific or job-related knowledge, skills, and abilities. Career development goals are also included in this goal category.

- **Work Habits and Attitude:** A professional attribute at the City that sets expectations for commitment demonstrated in performing the basic elements of the job, the resulting work product quality, timeliness of deliverables, and effective communication and engagement with coworkers, customers and business partners.