

**REVENUE BUREAU**  
**ANNUAL PERFORMANCE EVALUATION PURPOSE & PROCESS**  
SUBJECT TO LMC REVIEW AND REVISION IN SEPTEMBER 2009

**INTRODUCTION**

The annual Performance Evaluation (PE) is a communication tool designed to help employees be successful in their professional contributions to the Bureau. The appraisal process is a valuable opportunity to recognize outstanding work, focus on activities and goals, to identify and correct existing problems and to encourage better performance. The process assumes that on-going communication between the employee and supervisor is happening and is not intended to be part of any disciplinary process as identified in contractual agreements.

**What are the benefits of an annual Performance Evaluation?**

□ **Enhance Communication Between Employees and Supervisors**

Dialogue between an employee and their supervisor should be continuous and include coaching, mentoring and continuous learning.

The annual PE allows all for a more formal process to ensure employees:

- ✓ Understand their roles and responsibilities (expectations).
- ✓ Understand how what they do contributes to larger organizational goals.
- ✓ Understand what the organization considers acceptable levels of performance and how performance is measured.
- ✓ Have an opportunity to identify barriers/obstacles to the performance of their job.
- ✓ Receive recognition for their contributions and accomplishments.
- ✓ Are partners in identifying their goals and objectives, assessing their strengths and in developing a plan for areas needing improvement. Mutual development and agreement creates a sense of ownership and is key to success.

□ **Support Development of Employees**

The Performance Evaluation places importance on the identification of continuous learning opportunities. This enhances employees' ability to perform, stay current in their jobs and fields of expertise, and/or to provide opportunities for career growth for personal gratification as well as to assist in meeting the City's evolving business needs and environment.

□ **Support Continuous Quality Improvement**

The Performance Evaluation places emphasis on leadership and enabling of employees rather than controlling and documenting. The evaluation process is purposely designed to be a tool for promoting timely and effective communication about performance. Additionally, it is structured to build a partnership between employees and supervisors/managers in establishing expectations and assessing performance against planned goals and objectives.

□ **Recognition**

The Performance Evaluation provides employees with recognition for their work efforts and accomplishments. It signals that the organization is genuinely interested in their individual performance, their contribution to the broader organizational goals and objectives, and in their development.

**RESPONSIBILITIES**

The usefulness of the annual PE can be significantly increased when both the employee and the supervisor are well prepared.

*Supervisor and Employee*

- ✓ Be prepared for the meeting and complete the feedback forms as designed.
- ✓ Be on time for the meeting.
- ✓ Actively participate in the discussion.
- ✓ Practice active listening.
- ✓ Be open, honest and constructive in feedback.
- ✓ Be open-minded and receptive to constructive feedback.
- ✓ Confirm understanding and agreements.

*Employee*

- ✓ Ask questions of your supervisor if you don't understand the forms/process. To adequately prepare, it will be important to understand the process.
- ✓ Spend adequate time preparing for the meeting.
- ✓ Complete:
  1. The Employee's Self-Evaluation and Comments (Section III) and Employee's Expectations of Supervisor (Section IV). Be sure to include feedback for your supervisor or other comments or questions you want to ask. These sections are mandatory for the employee to complete.
  2. You may also choose to complete Section I: Competencies and Performance Factors. Be sure to include the priority, performance rating and any supporting examples you wish to include. While strongly encouraged, this section is optional for the employee to complete.
  3. Forward via email the Performance Evaluation to your supervisor.

*Supervisor*

- ✓ Reviews the Performance Evaluation received from the employee and completes the Supervisor's Summary (Section IV) and Overall Evaluation (Section V).
- ✓ If the employee completed Section I: Competencies and Performance Factors, the supervisor carefully considers the employee's self-ratings and makes changes as needed. In instances where changes are made, the supervisor prepares to discuss the changes with the manager and the employee.
- ✓ Forward the completed Performance Evaluation to the Manager for his/her review.
- ✓ Once approved by the Manager, return the completed Performance Evaluation to the employee for review.

- ✓ Schedule a meeting with the employee to discuss the material, including but not limited to:

#### ***The Year in Review***

- ***Employee's Effectiveness in Performing Job*** -- Two-way discussion regarding the employee's effectiveness in performing his/her job during the past year.
- ***Employee's Strengths and Areas for Improvement*** – This discussion focuses on how the employee does the job as opposed to job responsibilities. Suggested Critical Performance Factors are included. The Factors include organizational and individual behaviors, which are important to effective performance. The factors generally apply to all jobs, though the application may vary by job.
- ***Identify Barriers/Obstacles*** -- The people closest to the work know their jobs better than anyone and are as a result in the best position to identify barriers which impact work performance and job satisfaction and to offer possible solutions.
- ***Employee Development Goals*** -- Discuss whether established goals for the year in review were met. Discuss reasons and establish a plan of action or next steps if goals were not achieved.

#### ***Future Planning***

- ***Employee's Effectiveness in Performing Job*** – Establish goals and objectives for the upcoming review period using the Annual Evaluation tool.
- ***Employee Development Goals*** -- Changing trends and evolving technology require an ongoing commitment to enhance current skills, develop new skills and broaden knowledge. Additionally, areas requiring improvement need to be proactively addressed. Development of goals works best when they are jointly arrived at by the employee and the manager/supervisor.

***Employee Feedback for Manager/Supervisor*** -- It is important for an employee to have the opportunity and important for the managers/supervisors to hear how their employee views the guidance and support they provide the employee in performing their job. The Keep, Start, Stop format provides for an easy and constructive manner in which to provide this feedback.

***Process Improvement Opportunities*** -- Again, the people closest to the work know their jobs better than anyone and are as a result in the best position to identify better ways of accomplishing the task.

#### **Outcome**

The outcome of the PE meeting may well result in a completed process. Or, if additional time is necessary, schedule an additional session(s) as needed.

When the process is complete,

- ✓ Both parties should record any comments and attach documentation (e.g. other materials discussed or used in the course of the process) as appropriate.
- ✓ The supervisor signs.
- ✓ The employee has a final opportunity to make comments on the Acknowledgement page.

- ✓ Both parties sign a hard copy. (It is important to note that the employee's signature does not necessarily represent their agreement with the contents of the review; it simply represents that the meeting was held and all notes and attachments were discussed at the meeting.)
- ✓ The supervisor should return a copy of the completed and signed PE form and any accompanying documentation to the employee.
- ✓ The supervisor provides a copy to the Administrative Assistant to be maintained in the employee's bureau personnel file.
- ✓ If PE is for a non-represented employee receiving a merit increase, the supervisor also provides a copy of the completed form to the Bureau of Human Resources

The PE discussion may result in the need for a follow up session to finalize the review if there is significant variance between the manager/supervisor's assessment and the employee's assessment of their performance. The manager/supervisor should take into consideration any new information presented. It may be necessary to schedule a follow up meeting to finalize the appraisal.

**INSERT BUREAU FORM**