

PERFORMANCE MANAGEMENT SYSTEM

Handbook & Guide

**City of Medford
Human Resources Department
July 2014
Version 3**



TABLE OF CONTENTS

What City regulations address performance appraisals?.....	1
What forms are included in the Performance Management System?	1
What is the Statement of General Responsibilities?.....	1
What is a Performance Summary? When is it written?.....	3
Performance Summary – Sample Language.....	4
What performance ratings are used in the Performance Summary?.....	5
What do I do if an employee disagrees with his/her Performance Summary?.....	5
What do I do if an employee receives a “Does Not Meet Standards” rating?.....	5
How long is an employee kept on a bi-monthly Performance Summary?	5
How do I address discipline in the Performance Summary?	6
Information Sheets	6
What is an Information Sheet?.....	6
What do I do if an employee refuses to sign an Information Sheet?.....	7
Can an employee attach a response to an Information Sheet?	8
Employee Comment Sheet.....	8
Employee Performance File.....	8
What is an Employee Performance File (EPF)?	8
What is the time line for removing documents from the Employee Performance File (EPF)?	9
What should I do with the EPF of an employee who no longer works for the City?	9
Frequently Asked Questions	
How often should I meet with my subordinates?	10
How do I prepare to present a Performance Summary?.....	10
Who is responsible to complete the annual Performance Summary upon a transfer?.....	10
What responsibilities do I have if I am transferred to another assignment?	11
What do I do when a probationary employee is assigned/transferred to me?.....	11

Table of Contents

Can I get the quarterly due dates for my probationary employee's quarterly appraisals?.....	12
What do I do when a non-probationary employee is assigned/transferred to me?	12
Can I give my employee a "Does Not Meet Standards" Performance Summary at any time during the year when I determine they are not meeting standards?	12
As a manager (reviewer), why do I have to meet with my supervisors quarterly to discuss their performance management activities?	13
Where do we store performance management documents and when are they purged?	13

Performance Management

What City regulations address performance management?

Administrative Regulation No. 14-04 Employee Performance Management System

The Employee Performance Management System provides a process that allows for consistent and uniform monitoring and documenting employee performance throughout the City. In addition, the system provides employees with written feedback and direction regarding their performance and whether they are meeting job expectations.

The system is designed to:

- foster appropriate and impartial personnel decisions;
- maintain and improve performance;
- provide a medium for counseling and recognition;
- facilitate proper decisions regarding probationary employees;
- provide an objective and fair means for measurement and recognition of individual performance; and
- identify training needs.

All directors, managers and supervisors must attend training on the Performance Management System.

Human Resources sends annual Performance Management Report notices to the Department Directors approximately 30 calendar days prior to the report due date. The Department Director is responsible for forwarding the notices to the appropriate manager/supervisor. A reminder notice will be sent to the Department Director 30 days after the due date if the Performance Management Report is not received; and a final notice will be sent out to the City Manager 60 days after the due date if the report is still not received.

What forms are included in the Employee Performance Management System?

There are four forms used in the System. They include the:

Statement of General Responsibilities
Information Sheet
Performance Summary
Employee Comment Sheet

These forms are provided electronically in the cityshare M drive in the Performance Management Templates folder.

What is the Statement of General Responsibilities?

The Statement of General responsibilities gives the supervisor and employee an opportunity to meet and formally discuss what the general expectations are of the employee. This form will be individualized for each classification and, in some instances, different positions within a classification will be individualized as well.

A Statement of General Responsibilities is completed under three (3) circumstances and kept in the supervisor's Employee Performance File (EPF). The three (3) circumstances are:

- When an employee first reports (is assigned/transferred) to a supervisor, he/she will be responsible for completing the form in order to establish the goals, tasks and expectations of the employee based on the unit goals, tasks and expectations.
- When a supervisor is assigned or transferred to a different unit, he/she will review the personal goals, tasks and expectations set by the last supervisor for each employee and revise them as needed to be consistent with the unit goals, tasks and expectations.
- When an employee's annual review is completed and the supervisor reviews the Statement of General Responsibilities with the employee and updates them as necessary.

STEP 1: Heading

Type the personal information requested in the blocks. The date used in the review date block is the current date.

STEP 2: Classification Job Description

The classification job description section contains all the possible tasks for every employee within a specific job classification. It is, in effect, a general job description. These descriptions have already been prepared by the Human Resources Department for each City classification.

STEP 3: Assignment Specific Job Description

The assignment specific job description contains those job standards that are unique to the employee's particular assignment. These assignment specific descriptions have already been written for each position.

STEP 4: Personal Goals, Tasks and Expectations

The narrative portion is written as if you are speaking to the employee directly. For example: You or we discussed...,etc. This section contains the tasks and expectations you have for your employees. Develop and state goals, tasks and expectations that can actually be measured. Include the employee's personal goals in this area as well.

STEP 5: Signature Block:

The Statement of General Responsibilities must be signed by the supervisor and the employee. The employee must acknowledge (by placing an X in the appropriate box) whether or not the cover page contents were discussed.

What is a Performance Summary?

The Performance Summary provides a tool for the supervisor to reference an employee's measurable performance, document the employee's performance over the performance period and provides a tool for communication between the supervisor and the employee. A Performance Summary is completed: annually, quarterly for probationary employees, or bimonthly for those not meeting standards. Quarterlies remain in the Employee Performance File (EPF) maintained by the supervisor, while the annual and bi-monthlies are sent to Human Resources to be placed in the employee's personnel file.

Part 1: Heading:

Type the personal information requested in the blocks. The dates used in the summary period block reflect the months or year being summarized.

Part 2: Assignment Specific Job Description:

The assignment specific job description contains those job standards that are unique to the employee's particular assignment. These have already been written for each position. You need only copy and paste the one that corresponds with the employee you are evaluating.

Part 3: Narrative (which may include employee goals and rater's expectations):

The narrative portion is typed **TO** the person. For example: You or we discussed..., etc. Prior to completing the narrative, the supervisor meets with the employee to discuss the employee's performance. This provides an opportunity for the employee to provide any documentation he/she possesses or to discuss other actions taken by the employee during the period. The narrative portion of the summary is based on the employee's past performance during the summary period and provides a synopsis of the documentation the supervisor has generated over the rating period. Only performance related to the knowledge, skills and abilities outlined in the employee's classification and assignment specific job description may be summarized.

The narrative calls for an objective assessment and is based on the Information Sheets generated during the period. If the employee demonstrates commendable performance during the period, articulate the circumstances. If he/she demonstrates deficient performance or is disciplined for a performance related issue during the period, but corrects the behavior or performance, you may articulate the deficiency (without listing the specific disciplinary measures taken), and the correction made by the employee.

Part 4: Signature Block:

The form must be signed by the supervisor, reviewer, and the employee. The employee must acknowledge (by placing an X in the appropriate box) whether he/she agrees or disagrees with the summary. The employee and supervisor must initial the bottom of each page. Employees have a right to compose and attach a rebuttal within 30 days, using the Employee Comment Sheet.

Performance Summary – Sample Language

Example 1 (Deficiency/Improvement)

Early in this year your performance was inconsistent and you were not carrying your share of the work load. We discussed this on (enter Information Sheet date). The quality of your reports also needed improvement, which was discussed on (enter Information Sheet date). After our discussions, you continuously met standards in these areas. Your improvement was noted in our discussion on (enter Information Sheet date). On several occasions (enter Information Sheet dates) I have recognized you for being proactive in your efforts to share ideas with me and the rest of our team.

Recognition of your work is important to me and the City because of the citizens we serve. Your efforts in the last year show your contribution to the City's overall efforts in achieving its Vision of an outstanding community that is a vibrant place for people to live work and play. Additionally, your work and improvement over the last year has been a positive contribution to the City's Mission: Continuous Improvement - Customer Service.

Thanks for the positive changes and keep up the good work!

Example 2 (No Deficiencies)

You have consistently met your overall performance standards and my expectations throughout this year. We discussed the positive aspects of your performance on only two occasions over the last year (enter Information Sheet dates); however, it is important to note that your daily good work does not go unnoticed. Your daily work and contributions make my work easier...thank you.

Recognition of your work is important to me and the City because of the citizens we serve. Your efforts in the last year show your contribution to the City's overall efforts in achieving its Vision of an outstanding community that is a vibrant place for people to live work and play. Additionally, your work and improvement over the last year has been a positive contribution to the City's Mission: Continuous Improvement - Customer Service.

Example 3 (Attendance)

You have met work performance standards over the past year while you have been at work; however, your absences during the time period have negatively impacted the work output for the (section). When you are absent, others are pulled away from their work and we are unable to provide the high level of customer service that is expected by City management and our citizens. I have discussed these attendance issues with you on three different occasions (enter Information Sheet dates). As discussed with you, improvement in your attendance is critical to your and the City's success in our efforts to pursue the City's Vision and Mission.

Regular attendance and meeting your work standards will enable you to make your contribution to the City's Vision of an outstanding community that is a vibrant place for people to live work and play. Additionally, your regular attendance will be a positive contribution to the City's Mission: Continuous Improvement - Customer Service.

As you can see by the above samples, they are just summaries. There is no need to restate what you have documented in the Information Sheets. It is also important for you to always reaffirm the City's Vision and Mission as it applies to the employee's work. Beyond the sample statements above, you should provide verbal explanation to the employee so he/she understands how his/her work impacts these important areas. You may also describe important contributions or goals the employee has achieved during the rating period.

What performance ratings are used in the Performance Summary?

The only designated rating box is **Does Not Meet Standards**. This box is to be checked if at the time the summary is completed, performance is not meeting standards. As a minimum, an employee will meet standards so long as he/she has not been disciplined during the summary period. Discipline is not an automatic decision that an employee does not meet standards; however, it is the baseline for the supervisor to carefully examine the status of the employee's performance at the time the performance summary is due.

A supervisor may only rate a non-probationary employee's performance as not meeting standards at the time of the annual Performance Summary.

Even though you are no longer issuing specific ratings, you should recognize performance in your narrative.

What do I do if an employee disagrees with his/her summary?

If an employee disagrees with his/her summary, he/she may respond and attach an Employee Comment Sheet within 30 days to be placed in the personnel file as a permanent attachment to the Performance Summary, and/or he/she may request a review by the Department Director. The employee response may only include information directly related to statements made in the Performance Summary.

What do I do if an employee receives a "Does Not Meet Standards" rating?

Non-probationary employees who receive a "Does Not Meet Standards" as part of the annual Performance Summary will be placed on bi-monthly performance summaries. Bi-monthly summaries will be forwarded to Human Resources for filing in the employee's personnel file.

How long is an employee kept on a bi-monthly Performance Summary?

Bi-monthly summaries are completed until the employee's performance meets standards. Corrective action, including discipline, may be applied as appropriate during this process.

Note: Placing an employee on bi-monthly summaries does not change the employee's annual Performance Summary date.

How do I address discipline in the Performance Summary?

The Performance Summary addresses employee performance from a supportive perspective and focuses on communicating expectations and providing positive and constructive feedback. Because of this, and the fact that there are separate mechanisms in place for addressing disciplinary matters, the annual Performance Summary allows for supervisors to describe the circumstances that led to the discipline and the deficiency, **but not the specific discipline imposed.**

A supervisor should document on an Information Sheet the counseling that occurs when a disciplinary action is given to an employee. This documentation can include the specifics of the problem, the discipline and the employee's comments. This is done because the disciplinary action is only retained in the employee's personnel file, not in the EPF and the current performance and/or misconduct history should be available to the supervisor.

Referencing Discipline – Sample Language

- ⇒ During this last year, your performance was deficient as a result of your failure to complete projects in a timely manner. Specifically, on three (3) separate occasions, March 1, 2013, April 9, 2013 and June 18, 2013, you missed deadlines for completing reports.
- ⇒ During this last year your attendance was deficient in that you missed 14 days, most of which were connected to regular days of or holidays.

Information Sheets

What is an Information Sheet?

The Information Sheet is used to document communications between a supervisor and employees that report to him/her. The Information Sheet is intended to be used as a performance tool only and is kept in the EPF to provide documentation for completing the annual Performance Summary. The narrative portion is typed **TO** the person. For example: *You or we discussed...* etc.

Information Sheets will help to refresh your memory when it is time to write the employee's annual Performance Summary and meet requirements that the summary be based on documented incidents.

Information Sheets should be completed in a timely manner anytime an employee is commended or counseled regarding work performance or conduct related to performance, as well as to discuss the employee's personal goals, tasks and expectations.

During your discussion with an employee, allow the employee an opportunity for feedback or to ask for clarification. Such feedback should be documented as part of the communication. This is best facilitated by meeting and discussing the performance with the employee before actually preparing the Information Sheet.

The Information Sheet is also a vehicle for including performance-related information in the employee's performance file (such as letters from citizens, training certificates, internal department accolades, and information from employees to supervisors regarding their own individual performance and accomplishments). To do so, attach a copy of the correspondence to the Information Sheet with the statement "see attached." This would be in addition to any discussion you have with the employee.

When referencing performance or conduct issues associated with an Information Sheet in the Annual Performance Summary, supervisors should focus on the content of the discussion with the employee instead of on the documentation. Supervisors should refrain from using the term "Information Sheet" and instead use, "discussed" or "counseled."

Information Sheet - Sample Language

- ⇒ On May 6, 2013, we discussed a compliment you received from a citizen regarding the excellent customer service she received from you when she came to City Hall to gather information for a business license.
- ⇒ On June 14, 2013, we discussed the results of the Activity Report for your squad for the month of February 2013. You have demonstrated proactive efforts to increase your productivity since our last discussion. This is certainly a step in the right direction. You agreed you will consider the when, where, and why specific to traffic stops, pedestrian stops, and field interviews to help with your report writing. We also discussed the need for your efforts to be directed toward the specific tactics we are implementing, which I provided to you. You indicated that you want to do a good job for the Department and will focus more on working with other team members to complete our assigned tactics in the manner we discussed.
- ⇒ On June 28, 2013, we discussed your attendance as you were absent on June 1, 2013, June 10, 2013, June 22, 2013, and June 24, 2013 and how our team counts on each member being at work.
- ⇒ On August 12, 2013, we discussed your attendance associated with absences on July 14, 2013, July 22, 2013, and August 10, 2013 after our previous discussion on June 28, 2013. You agreed you hold an important position on our team and we count on you to be at work. You acknowledged your understanding that continued attendance issues will lead to disciplinary action.

Original Information Sheets should be given to the employee with a copy placed in the EPF.

What do I do if an employee refuses to sign an Information Sheet?

If an employee refuses to initial an Information Sheet, clarify with the employee why they are refusing. If changes need to be made to the information, make the appropriate changes. Advise the employee that he/she is required to sign the sheet to affirm that they received it, not that they necessarily agree with it. The employee is free to write on the sheet that they disagree with the document as part of the requirement to initial. Provide the original to the employee and explain that although he/she may disagree, he/she will be held accountable to any direction or instruction provided in the Information Sheet.

Can an employee attach a response to an Information Sheet?

An employee may hand write their comments on an Information Sheet before copies are made. If the employee wishes to attach an Employee Comment Sheet, they may do so within 30 days. Nevertheless, you still must seek the employee's signature (or refusal) and place the Information Sheet in the EPF at the time of presenting it.

Employee Comment Sheets

Employee Comment Sheets may be utilized for the following purposes:

- ⇒ **To comment on issues included in an Information Sheet.**
- ⇒ **To comment on issue included in his/her annual summary.**
- ⇒ **To comment on performance of other employees, to include concerns or kudos. These may include safety concerns that can be forwarded to the Safety Committee.**
- ⇒ **To comment on operational issues.**
- ⇒ **To provide information to the employee's supervisor regarding on-going accomplishments he/she has achieved during the rating period.**

The Employee Comment Sheets are incorporated into this system to provide an additional avenue for two-way communication between the employee and his/her supervisor/manager.

Employee Performance File

What is an Employee Performance File (EPF)?

The Employee Performance File (EPF) is used to track employee performance and assignment and should contain the documents outlined below:

- ⇒ The current Statement of General Responsibilities.
- ⇒ If not meeting standards, all Performance Summaries indicating such.
- ⇒ Information Sheets.
- ⇒ Employee Comment Sheets.
- ⇒ Up-to-date employee information and emergency contact information.
- ⇒ Approved requests for outside employment.

The EPF will be maintained by each supervisor. Upon a subordinate's transfer to another assignment, the file and all its contents will be forwarded to the employee's new supervisor.

What is the time line for removing documents from the Employee Performance File (EPF)?

Employees on quarterly review (probation):

All Statements of General Responsibility remain in the EPF until the employee receives his or her first annual performance summary. Once the annual Performance Summary is completed and forwarded to Human Resources, the quarterly narratives may be purged from the EPF.

Employees on bi-monthly review:

All bi-monthly summaries are forwarded to Human Resources and a copy remains in the EPF until such time the employee has met standards.

Employees on annual review:

Only the current Statement of General Responsibilities is maintained in the EPF. The prior Statement of General Responsibilities can be purged when the supervisor and employee meet and revise personal goals, tasks and expectations or a new assignment specific job description is created.

Only the ***most recent*** copy of the Performance Summary is maintained in the EPF, as the prior year is in the personnel file maintained in Human Resources.

Information Sheets:

Information Sheets will be purged from the EPF one (1) year from the date of issuance. However, if the Information Sheet is connected to a disciplinary issue, it will be kept until any appeal process is completed.

What should I do with the EPF of an employee who no longer works for the City?

When an employee, permanent or probationary, separates from the City, you will send the EPF and its entire contents to Human Resources.

Frequently Asked Questions

How often should I meet with my subordinates?

Circumstances vary from employee to employee, however, making contact with employees on a regular basis is important. Below are some examples of reasons to have personal contact with your subordinate:

- ⇒ To maintain an open line of communication.
- ⇒ To assess daily job performance and progress toward goals, tasks and expectations.
- ⇒ When giving direction, counseling, commending.
- ⇒ When delivering an Information Sheet that documents discussion regarding direction, counseling or a commendation.
- ⇒ To discuss and affirm the City and departmental values, vision, mission, goals and strategies for action.
- ⇒ To motivate and mentor.

How do I prepare to present a Performance Summary?

1. Compare accomplishments with each performance standard listed in the Statement of General Responsibilities, including the specific goals, tasks and expectations.
2. Be specific about what was expected and the degree to which the employee has met the expectations.
3. Give credit for what has been accomplished.
4. Review those things that have not been accomplished.
5. Be clear where improvement is needed.

Who is responsible to complete the annual Performance Summary upon a transfer?

- ⇒ If the employee's next Performance Summary is due within 60 days of a transfer, the supervisor before the transfer is responsible for completing the summary.
- ⇒ If the employee's next Performance Summary is due more than 61 days after a transfer, the new supervisor is responsible for completing the summary. In this case, the new supervisor will collaborate with the prior supervisor to complete the summary.

What responsibilities do I have if I am transferred to another assignment?

Before leaving the old assignment:

- ⇒ Review each EPF. Make sure it includes the most recent Performance Summary, the current Statement of General Responsibilities and any current Information Sheets.
- ⇒ Make sure out-of-date materials have been purged.
- ⇒ Forward EPF file to new supervisor.

On arrival at the new assignment:

- ⇒ Review each EPF. Make sure it includes the most recent Performance Summary, the current Statement of General Responsibilities and any current Information Sheets.
- ⇒ As necessary, complete and sign an updated Statement of General Responsibilities for each assigned employee identifying your expectations, tasks or employee goals.
- ⇒ Determine when the next appraisal (bi-monthly, quarterly or annual) is due for each assigned employee.

What do I do when a probationary employee is assigned/transferred to me?

On arrival:

1. Complete and sign an entire Statement of General Responsibilities.
2. Check "Yes" in the "On probation" block on page one.
3. Present and discuss with the employee.
4. Have employee complete signature block at bottom of page.
5. Provide copy to employee.
6. Place copy in the Employee Performance File (EPF).
7. Identify quarterly date schedule.

Quarterly thereafter (every three months for first nine months):

1. Complete and sign the Performance Summary.
2. Present to your Reviewer (immediate supervisor) for signature.
3. When returned, present to and discuss with the employee.
4. Have employee complete signature block at bottom of page.
5. Attach any employee rebuttals (Employee Comment Sheet).
6. Provide copy to employee.
7. Place the original in the EPF.

On employee's anniversary thereafter:

1. Complete/sign the Performance Summary.*
2. Check "No" in the "On probation" block on page one.
3. Follow steps 2-6 of "Quarterly" above.
4. Place a copy in the EPF.
5. Forward the original Performance Summary to Human Resources.
6. Purge the EPF.

*The narrative is to be an objective summary of the employee's performance during the **entire** preceding year.

Can I get the quarterly due dates for my probationary employee's quarterly appraisals?

Quarterly due dates are calculated beginning three months from date of hire, or date of promotion. The supervisor is expected to calculate these dates. Quarterly appraisals are kept in the EPF and not sent to Human Resources unless the employee's employment is terminated.

What do I do when a non-probationary employee is assigned/transferred to me?

On arrival:

1. Obtain Employee Performance File (EPF) from employee's previous supervisor.
2. Review EPF - make sure it includes the most recent Statement of General Responsibilities.
3. Complete/sign a new Statement of General Responsibilities for the coming year.
4. Present to and discuss with the employee.
5. Have employee complete signature block at bottom of page.
6. Provide copy to employee.
7. Place the original Statement of General Responsibilities in the EPF.

On employee's anniversary thereafter:

1. Complete/sign a Performance Summary.
2. Check "No" in the "On probation" block on page one.
3. Present to your Reviewer (immediate supervisor) for signature.
4. When returned, present to and discuss with the employee.
5. Have employee complete signature block at bottom of page.
6. Attach any employee rebuttals.
7. Provide copy to employee.
8. Place copy in EPF.
9. Forward original to Human Resources.
10. Purge EPF.

Can I give my employee a "Does Not Meet Standards" Performance Summary at any time during the year when I determine they are not meeting standards?

No. A supervisor may only rate a non-probationary employee's performance as not meeting standards at the time of the annual evaluation. An Information Sheet and/or discipline may be used to address performance deficiencies throughout the rating period.

As a manager (reviewer), why do I have to meet with my supervisors quarterly to discuss their performance management activities?

Your responsibility to meet quarterly with the supervisors that you manage is the necessary foundation that ensures success of this performance management system. Performance management is a primary function of all supervisors. Meeting quarterly affirms our commitment to the process and provides the necessary accountability. Without oversight from the manager, consistent application and adherence to the program cannot be maintained. Continuous communication and documentation enables us all to achieve the City's mission of "continuous improvement" and "customer service."

Each quarterly meeting will be documented on an Information Sheet and will be a factor to be discussed in the supervisor's annual summary.

Where do we store the performance management documents and when are they purged?

- ***Statement of General Responsibilities (SGR)*** - Stored in the Employee Performance File and will be retained until replaced by a new SGR for the coming year.
- ***Information Sheet*** - Stored in the Employee Performance File and will be retained until the annual Performance Summary is completed. An information sheet will only be retained beyond this time period if it is associated with a disciplinary action that is subject to appeal.
- ***Employee Comment Sheet*** - Stored in the Employee Performance File and will be retained until the annual Performance Summary is completed. An employee comment sheet will only be retained beyond this time period if it has yet to be acknowledged by a manager in the quarterly review process.
- ***Performance Summary*** - All annual performance summaries will be stored in the employee's file in Human Resources. Additionally, the most recent performance summary will be stored in the Employee Performance File as well.

NOTES