

UNCLASSIFIED PERFORMANCE PLANNING AND EVALUATION FORM

GENERAL INSTRUCTIONS

The **Department Head Performance Planning Period** will be conducted from November 1 – January 31 annually for the following year (or when the Department Head is hired, the duties change, or as needed). Department Head performance will be monitored throughout the year and the supervising Deputy Mayor(s) or Deputy CAO(s) shall complete one structured Mid-Year Review by July 31st of the Performance year. Finally, the **Performance Evaluation Period** will occur from November 1 – January 31 annually, for the preceding year's performance.

IMPORTANT EVALUATION SYSTEM DATES:

Performance Planning Period (November 1 - January 31)

Mid- Year Review (June 1 - July 31)

Performance Evaluation Period (November 1 - January 31)

Part I: **Goal Planning** is for Department Heads and their supervisors to design performance goals for the following year. Goals are to be established with Department Head's input and approved by the supervisor and the Appointing Authority/designee. Appointing Authorities may designate an evaluating supervisor who, in the Appointing Authority's judgement, is in the best position to observe and document the Department Head's performance.

Part II: **(A) Work Tasks** will be identified during the Evaluation Planning Period and is where supervisors indicate tasks and related behavioral expectations that facilitate goal achievement.

(B) Competencies/Knowledge, Skills, and Abilities (KSAs) will also be identified during the Evaluation Planning Period, and is where supervisors indicate which competencies/KSAs aid performance on the indicated Work Tasks section, eventually facilitating achievement of performance goals.

Part III: **Notes/Comments** should also be completed during the Evaluation Planning Period, preferably immediately after the Performance Planning meeting. This section should include supervisor's notes taken during the Evaluation Planning meeting. Department Heads are also encouraged to take notes and/or provide comments during the meeting. Even if the Department Head does not have any notes/comments, he/she is required to sign the Evaluation Planning form to indicate that the meeting occurred.

Performance Evaluation Period (November 1 – January 31)

Part IV: **(A) Evaluations and (B) Narrative Feedback** will be conducted during the Evaluation Review Period and is where the Department Head and the supervisor are able to discuss the Department Head's performance throughout the year. Supervisors are required to provide evaluations for **Work Tasks** and **Competencies/KSAs**. These evaluations should be based on clearly documented monitoring and feedback throughout the performance year.

The Narrative Feedback section is for discussing Department Heads achievement, setbacks, challenges, strengths, and weaknesses. This section is also used to note the resources and support that the department/supervisor is required to provide Department Heads. There are specific questions provided to facilitate the Narrative Feedback session. These questions are **not scored**.

Note: Please remember, per Civil Service, all unclassified Department Heads on leave from the classified service are required to have a goal planning session conducted in Neogov by their supervisor by January 31. No extensions will be granted.

To be Completed by Department Annually by January 31

Date of Evaluation:

Department Head's Name:

Department Head's Number:

Department Head's Class Title & Class

Code: Department Head's Position Title:

Brief Description of Duties:

Supervisor Name:

Department Name:

Division Name:

PART I - GOAL PLANNING:

The mission, vision statement, and objectives of your department must be entered below. These departmental objectives represent the responsibilities of your department. Every Department Head within your department contributes (or should contribute) to at least one of them. Please select the one (or more) that apply to your Department Head.

Note: If you do not find an objective that applies to your Department Head, you can develop one and add it. Please contact your department's Personnel Officer/PERFORM Liaison for assistance.

Mission/Vision Statement:

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Departmental Objectives:

PART I - GOAL PLANNING (cont.):

Using the departmental objectives that you select for your Department Head, please enter the performance goals you and your Department established for the upcoming year. Note that the goals should be SMART (i.e., Specific, Measurable, Achievable, Realistic, and Time-bound). To write a SMART goal, please see if the proposed goal answers all of the following questions:

1. What goal needs to be achieved?
2. How is the goal going to be achieved?
3. When is the goal expected to be achieved?
4. Is the goal challenging (but not too easy or difficult) for your Department Head?

For example: During the performance planning period of November 1 through January 31, the Finance Director will establish and implement a comprehensive property tax collection strategy to ensure accurate billing, timely receipt and deposit of payments, and effective delinquency management, with the objective of achieving a 97% property tax collection rate by the close of the fiscal year (January 1 through December 31, as evaluated during the annual evaluation period of November 1 through January 31 of the following year.)

You may establish up to 5 goals, but must establish at least 3 and you are required to provide information about how the progress on these goals will be tracked. Complete the goal form on the following page (page 6). Goals may be revised later only with a thorough supervisor explanation on Page 5.

PART I - GOAL PLANNING (cont.):

Proposed Goal	Proposed Measure/Indicator	Complete During Evaluation
1.		<input type="checkbox"/> Met <input type="checkbox"/> Not Met <input type="checkbox"/> N/A
2.		<input type="checkbox"/> Met <input type="checkbox"/> Not Met <input type="checkbox"/> N/A
3.		<input type="checkbox"/> Met <input type="checkbox"/> Not Met <input type="checkbox"/> N/A
4.		<input type="checkbox"/> Met <input type="checkbox"/> Not Met <input type="checkbox"/> N/A
5.		<input type="checkbox"/> Met <input type="checkbox"/> Not Met <input type="checkbox"/> N/A

*Goals that are new, revised, or otherwise not measurable for this period should be rated "N/A". A Goal Status of "N/A" is equivalent to "Met". If "N/A" is marked, the Supervisor must provide an explanation.

PART I - GOAL PLANNING (cont.):

Please provide a detailed explanation here for the goals that have been revised and/or cannot be measured (i.e., N/A goals). Please note that a goal can only be rated as N/A under circumstances beyond Department Head's control. You can also use this page as an additional space to list/explain goals.

PART II (A) - WORK TASKS (BEHAVIOR EXPECTATIONS):

Please list specific work tasks your Department Head should perform in order to achieve his/her performance goal(s). You should use the tasks listed in the position description of your Department Head, as needed. You can ask the Personnel Officer/PERFORM Liaison within your department for the individual Department Head's position description. Work Tasks for revised Goals may also be revised later with thorough supervisor explanation.

Please note that you can establish as many Work Tasks as you like, but please establish at least 1 for each Goal and put its number in the next column.

Tasks	Related Performance Goal Number(s)

PART II (B) - COMPETENCIES, KNOWLEDGE, SKILLS, AND ABILITIES (KSAs):

In order to achieve performance goals successfully, your Department Head is required to have, learn, and/or develop certain Competencies/KSAs. In relation to the goals that you have established, which of the following Competencies/KSAs should your Department Head learn/develop and be evaluated on? You are required to discuss these with your Department Head. **Please note that you can pick as many Competencies/KSAs as possible, but pick at least 1 for each goal and put its number in the next column.**

Competencies/KSAs	Related Performance Goal Number(s)
<input type="checkbox"/> Job-specific Knowledge and Skills (technical and professional skills to perform the job)	
<input type="checkbox"/> Communication (skill of interacting with everyone at work clearly through written or oral medium)	
<input type="checkbox"/> Problem Solving/Critical Thinking (ability to resolve difficult work situations or problems and come to successful solutions/conclusions)	
<input type="checkbox"/> Fostering Diversity (encouraging minorities to get involved in projects/work)	
<input type="checkbox"/> Work Standards (quality and volume of work)	
<input type="checkbox"/> Respect for Others (ability to demonstrate polite and courteous behavior to others at work)	
<input type="checkbox"/> Service Orientation (focus on citizen's needs and well-being)	
<input type="checkbox"/> Process Improvement (thinking of ways to improve things at work)	
<input type="checkbox"/> Leadership and Supervision (motivating, delegating, controlling, and mentoring lower-level employees)	
<input type="checkbox"/> Learning Agility (ability to learn quickly and continuously)	
<input type="checkbox"/> Work Ethic (demonstrating honesty and integrity)	
<input type="checkbox"/> Safety Orientation (demonstrating concern for safety at workplace)	

PART II (B) - COMPETENCIES, KNOWLEDGE, SKILLS, AND ABILITIES (Cont.):

<input type="checkbox"/> Proactivity (taking initiative and working independently)	
<input type="checkbox"/> Dependability (ability to demonstrate reliability on the job through attendance, meeting deadlines, and accurate work)	
<input type="checkbox"/> Regulatory Compliance (following rules and regulations laid down by the City, State, and Federal govt.)	
<input type="checkbox"/> Adaptability (ability to tolerance for uncertainty and demonstrate flexibility in dealing with emergencies at work)	
<input type="checkbox"/> Information Sharing (with fellow workers and subordinates, delivering the message of higher managers to subordinates)	
<input type="checkbox"/> Planning and Organization	
<input type="checkbox"/> Technology	
<input type="checkbox"/> Any Certification(s)/Licensure	
<input type="checkbox"/> Further Educational Training	
<input type="checkbox"/> Other (please explain)	

Note: Please recommend any relevant training to help Department Heads learn or develop the selected competencies. You may use the attached list of training sessions at the end of this document as a guide.

PART III - NOTES/COMMENTS:

Please make a note of Department Head's comments and/or briefly summarize the key points of your planning session with the Department Head. Your Department Heads will also receive a copy of the completed form and will be asked to provide his/her comments.

After you have completed this section, print a copy, sign it, obtain the Department Head's signature, and obtain the Appointing Authority/ Designee's signature. The original will remain in Department Head 's personnel file. Make a copy that you will refer to regularly throughout the year to monitor Department Head's performance and to provide regular feedback, using the supplementary Continuous Monitoring and Feedback Form provided at the end of this document.

Evaluating Supervisor Notes/Comments:

Department Head's Notes/Comments (Optional but Recommended):

Performance Management Plan Approved By:

Date: _____

Supervisor Name: _____

Supervisor Signature: _____

Department Head's Name: _____

Department Head's Signature: _____

Note: Please note that a failure to sign this form does not mean you are exempt from performance evaluation.

PART IV (A) - EVALUATIONS:

Refer to Part I and II (Pages 5-9) of this document to provide evaluations of your Department Head's performance below. Please note that you should be able to justify/explain the evaluations through documentation (e.g., logs of activity, observation, notes, etc.). You must use supplementary material to aid the documentation process.

Please check the boxes that indicate your Department Head's performance throughout the year.		
Needs Improvement/Performing with Concerns	Acceptable/Well-Placed	Outstanding/High Potential
<input type="checkbox"/> Achieved <u>none</u> of the performance goals*	<input type="checkbox"/> Achieved <u>all</u> of the performance goals*	<input type="checkbox"/> Achieved <u>all</u> and surpassed <u>at least one</u> of the performance goals*
<input type="checkbox"/> Able to perform a <u>few</u> of the work tasks	<input type="checkbox"/> Able to perform <u>most</u> of the work tasks	<input type="checkbox"/> Able to perform <u>all</u> of the work tasks
<input type="checkbox"/> Still requires improvement/learning on <u>at least one</u> of the selected competencies/KSAs	<input type="checkbox"/> Demonstrates improvement/learning on <u>most but not all</u> of the competencies/KSAs	<input type="checkbox"/> Demonstrates <u>substantial competence on all</u> of the selected competencies/KSAs
<input type="checkbox"/> Struggles to finish assigned <u>work with multiple errors on several occasions</u>	<input type="checkbox"/> Finishes assigned work with <u>zero to minor errors most of the time</u>	<input type="checkbox"/> Delivers <u>high-quality work all the time</u>
<input type="checkbox"/> Requires <u>some supervision or guidance all the time</u>	<input type="checkbox"/> Able to work with <u>minimal supervision or guidance most of the time</u>	<input type="checkbox"/> Able to work efficiently <u>without any supervision or guidance most of the time</u>
<input type="checkbox"/> Has <u>difficulties performing adequately in the current role</u>	<input type="checkbox"/> Has <u>adequate ability to work in the current role</u>	<input type="checkbox"/> Has <u>high potential to succeed in the current role</u>
<input type="checkbox"/> This Department Head <u>could be better placed</u> elsewhere – other team, unit, division, or department.	<input type="checkbox"/> This Department Head <u>performs as well as most of the other</u> Department Heads within the team, unit, division, or department.	<input type="checkbox"/> This Department Head is <u>hard to replace</u> due to the contribution he or she has made to this team, unit, division, or department.
Check your overall rating.: _____ <input type="checkbox"/> DOES NOT MEET EXPECTATIONS <input type="checkbox"/> MEETS EXPECTATIONS <input type="checkbox"/> EXCEEDS EXPECTATIONS		Evaluating Supervisor: Department Head:

* Exclude N/A goals. This applies only to the goals that were assigned during the performance planning period and tracked throughout the year.

PART IV (B) - NARRATIVE FEEDBACK:

1. **Strength:** Which areas of work performance has the greatest growth been experienced?

2. **Areas of Improvement:** Which areas of performance require further improvement?

3. **Training Opportunities:** What training opportunities has the department provided for helping the Department Head achieve his or her performance goals?

4. **Resources/Support:** What additional resources/support is the department required to provide the Department Head for further goal achievement?

5. Additional Remarks/Comments:

6. Additional CAO and/or Mayor Evaluation Notes:

Date: _____

I acknowledge that I have seen and discussed this evaluation with my supervisor. My signature below does not necessarily indicate agreement with the evaluation provided.

Department Head's Name: _____ Department Head's Signature: _____

I acknowledge that I have discussed this evaluation with the Department Head. My signature below does not necessarily indicate agreement with statements provided by the Department Head.

Supervisor Name: _____ Supervisor Signature: _____

SUPPLEMENTAL MATERIAL

Training Matching each Competency/KSA

Job Specific Skills/Knowledge:

Public Speaking & Oral Presentation; Enhancing One's Speaking Skills; Business Writing; Listening Skills; Human Relations; Techniques of Customer Service; Telephone Techniques; Basic Office Skills; Basic Math for Utilities Supervisors; Business Mathematics; Basic Statistics; Purchasing in City Government; Accounting Process in City Government; AFIN-Basics; AFIN-Grants Management; Executive Secretarial Skills; Records Management; Basic Typing; Advanced Typing; Effective People Skills; PAT Speaking; PAT Writing; PAT Math & Stats

Communication:

Basic Grammar Usage & Proofreading I; Basic Grammar Usage & Proofreading II; Public Speaking & Oral Presentation; Enhancing One's Speaking Skills; Business Writing; Listening Skills; Human Relations; Techniques of Customer Service; Telephone Techniques; Counseling/Coaching Employees; Team Building; Performance Appraisals; Effective People Skills; PAT Speaking; PAT Writing

Problem Solving/Critical thinking:

Human Relations; Techniques of Customer Service; Basic Stats; Accounting Process in City Government; Counseling/Coaching Employees; Effective Crisis Intervention with Employees; Conflict Management; Problem Solving & Decision Making; PAT Math & Stats; PAT Problem Solving/Decision Making

(NOTE: The math-related courses are cited as having content which may involve critical thinking from a calculative perspective, as well as solving problems via calculative means/deductive reasoning.)

Fostering Diversity:

Human Relations; Personnel Interviewing; Procurement & Purchasing; Competitive Selection Procedure for Prof. Services Contracts
(NOTE: Some smaller aspect of these courses' materials address equality/fairness/consideration for inclusion of all ethnic groups)

Work Standard:

Intro to Workplace Discipline; Managing Workplace Discipline; Performance Appraisals; Total Quality Management

Respect for Others:

Listening Skills; Human Relations; Techniques of Customer Service; Telephone Techniques; Personnel Interviewing; Counseling/Coaching Employees; Team Building; Sexual Harassment in the Workplace; Leadership; Effective People Skills

Service Orientation:

Human Relations; Techniques of Customer Service; Executive Secretarial Skills; Total Quality Management; Effective People Skills

Process Improvement:

Purchasing in City Government; Accounting Process in City Government; AFIN-Basics; AFIN- Grants Management; Performance Appraisals; Procurement & Purchasing; Competitive Selection Procedure for Prof. Services Contracts; Grant & Proposal Writing; Contract Prep and Administration; Records Management; The Office & Office Management; Conducting Meetings; Total Quality Management; Basic Typing; Advanced Typing; Managing Stress; Effective People Skills; Simply Personal Finance; PAT Meetings

Leadership and Supervision:

Principles of Management; Planning/Organizing; Leadership; Problem Solving & Decision Making; Conducting Meetings; Total Quality Management; PAT Problem Solving & Decision Making; PAT Meetings; Employee Onboarding; Intro to Supervision; Personnel Interviewing; Intro to Workplace Discipline; Managing Workplace Discipline; Counseling/Coaching Employees; Team Building; Performance Appraisals; Effective Crisis Intervention with Employees; Conflict Management; Sexual Harassment in the Workplace; PAT Supervision; PAT Managing Conflicts & Human Relations

Learning Agility:

Reading Comprehension; Basic Grammar Usage & Proofreading I; Basic Grammar Usage & Proofreading II; Business Writing

Work Ethics:

Employee Onboarding; Intro to Workplace Discipline; Managing Workplace Discipline; Performance Appraisals; Sexual Harassment

Safety Orientation:

Effective Crisis Intervention; Conflict Management; Sexual Harassment in the Workplace; PAT Managing Conflicts/Human Relations
(NOTE: All of these courses take into consideration ways to uphold the 'safety' of the employee, from potential harm/injury from others on the job – not necessarily catastrophic/accident-related injuries.)

Proactivity:

City Employees' Orientation; Retirement Planning & Municipal Employees Retirement System; Employee Onboarding; Performance Appraisals; Planning and Organizing; Managing Stress; Simply Personal Finance; Total Quality Management
(NOTE: These courses might promote one to consider probing further into a possible resource/tool/Rule; utilizing a new approach; or trying to get a jump start on addressing a matter before the customary time frame.)
{These are things that are usually done by folks implementing initiative.}

Dependability:

Listening Skills; Employee Onboarding; Intro to Supervision; Team Building; Performance Appraisals; Principles of Management; Leadership; Effective People Skills

Regulatory Compliance:

Employee Onboarding; Intro to Workplace Discipline; Managing Workplace Discipline; Performance Appraisals; Sexual Harassment in the Workplace; Procurement and Purchasing; Competitive Selection Procedure for Prof. Services Contracts

Adaptability:

Public Speaking & Oral Presentation; Enhancing One's Speaking Skills; Listening Skills; Human Relations; Techniques of Customer Service; Effective Crisis Intervention; Conflict Management; Planning/Organizing; Leadership; Problem Solving & Decision Making; Conducting Meetings; Total Quality Management; Managing Stress; Effective People Skills; PAT Speaking; PAT Managing Conflicts/Human Relations; PAT Problem Solving/Decision Making; PAT Meetings
(NOTE: All of these courses have material that speaks to how you may need to make adaptations to regular/routine ways of doing things in order to accommodate special/mitigating circumstances that may occur, which may/may not be anticipated.)

Information Sharing:

Employee Orientation; Understanding City Government; Retirement Planning/Municipal Employees' Retirement System; Employee Onboarding; Procurement & Purchasing; Competitive Selection Procedure for Prof. Services Contracts; Records Management
(NOTE: Contract courses help to bring transparency to contract process; fosters equality and possibly mandates certain percentages of participation by select/minority ethnic groups)

Planning and Organization:

Basic Office Skills; Retirement Planning/Municipal Employees' Retirement System; Employee Onboarding; Intro to Supervision; Performance Appraisals; Planning/Organizing; The Office & Office Management; Conducting Meetings; PAT Supervision; PAT Meetings

Technology:

Business Software Application Training: Microsoft Word I – Basic; Microsoft Word II – Intermediate; Microsoft Excel I – Basic; Microsoft Excel II – Intermediate; Microsoft PowerPoint; Microsoft Outlook; Power User Courses (Advanced Courses)

RECORD-KEEPING: CONTINUOUS MONITORING AND FEEDBACK

This sheet can be used to keep track of Department Head's performance throughout the evaluation period. **Make multiple copies as needed.**

Date Conducted:	Supervisor Initials:
Observed behavior and feedback provided:	

Date Conducted:	Supervisor Initials:
Observed behavior and feedback provided:	

Date Conducted:	Supervisor Initials:
Observed behavior and feedback provided:	

Date Conducted:	Supervisor Initials:
Observed behavior and feedback provided	