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	Performance Appraisal Procedures
Purpose	The performance appraisal provides a means for discussing, planning and reviewing the performance of each employee. Regular performance appraisals: • Help employees clearly define and understand their responsibilities. • Provide criteria by which employees' performance will be evaluated. • Suggest ways in which employees can improve performance. • Identify employees with potential for advancement within YVEDDI. • Help managers distribute and achieve departmental goals.
References	YVEDDI Human Resource Policy Manual – page 32
Scope	All employees
Definitions	Performance Appraisal – a written evaluation of the employee's job performance and a personal discussion with the employee.
Procedure	**Core Competencies** ▪ Core competencies are used as a foundation piece of the employee's annual performance evaluation. Most jobs require competencies (i.e. knowledge, skills and abilities; process dimensions; etc.) in at least three to five broad areas. ▪ These competencies are: technical/intellectual, interpersonal, customer service, organizational and community sensitivity, physical skills, and professional conduct. ▪ Only those core competencies relevant to the employee's position should be considered when evaluating that employee. ▪ The most common core competencies are listed below: 　o **Technical/Intellectual Competency: Ability to use the tools and concepts of the specialty area in which you work and to think, learn and process information. Using appropriate processes, procedures, resources, and work or professional standards.** 　o Elements of technical/intellectual competency could include: 　　▪ Subject matter understanding and logical thinking 　　▪ Skill in gathering and drawing conclusions from data 　　▪ Skill in using tools or equipment required for the job 　　▪ Computer competence

- Ability to solve typical job problems using the appropriate resources properly
- Ability to plan ahead appropriately
- Completion of related training, degrees and certifications
- Effective application of related policies and procedures
  - Examples of highly-rated behaviors are:
    - Shows broad knowledge of job area when answering questions and where to find information and resources needed.
    - Identifies the existence of a question or problem, differentiates symptoms from causes of question or problem, and accurately assesses when question or problem is beyond his/her knowledge or expertise.
    - Identifies job-related strengths and weaknesses.
    - Keeps up-to-date on developments within job area.
    - Helps others upgrade technical skills.
    - Develops creative solutions or service ideas.
  - Examples of poorly-rated behaviors are:
    - Fails to consider or seek out relevant information when solving problems or making suggestions
    - Provides inaccurate technical information; poor computing or reading ability interferes with ability to complete tasks
    - Fails to update job knowledge
    - Routinely bases decisions on un-checked assumptions and fails to appreciate the effects of those decisions
    - Uses tools or equipment incorrectly or unsafely
    - Inaccurately or inconsistently applies policies and procedures
  - **Interpersonal Competency: Ability to work with people, develop and maintain work relationships, communicate, manage conflict, and perform as an effective team member.**
  - Elements of interpersonal competency could include:
    - Ability to perceive and react to the needs of others
    - Paying attention to others' feelings and ideas
    - Objectively perceiving the impact of self on others
    - Getting along with others
    - Showing flexibility in dealing with a variety of personality types
    - Speaking, writing and listening effectively, including checking for understanding and agreement
    - Effectively resolving differences
    - Coaching skills
  - Examples of highly-rated behaviors are:
    - Appropriately asks for ideas from each person at a meeting
  - Uses active listening techniques such as paraphrasing, repeating, summarizing and checking for understanding

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- Considers and uses ideas and opinions different from his/her own
- Treats co-workers and subordinates with courtesy
- Works toward consensus where appropriate
    - Examples of poorly-rated behaviors are:
        - Routinely insists upon own position or ideas
        - Uses condescending or inappropriate phrases such as "shut up" or "I don't care what you think"
        - Escalates conflicts rather than working to resolve differences
        - Fails to inform others of what he or she has done and why
        - Consistently singles-out individuals for favored treatment or ignores or discriminates against certain individuals
        - Insists on behaving counter to team agreements
    - **Intellectual Competency: Ability to think, learn and process information. Ability to solve problems and gather necessary information. Math and reading skills appropriate to job level.**
    - Elements of intellectual competency could include:
        - Skill in gathering and drawing conclusions from data
        - Ability to solve typical job problems using appropriate resources
        - Thinking logically
        - Observing skills such as recognizing objectively what is happening in a situation
        - Awareness of personal competencies and their effects on others
        - Ability to plan ahead appropriately
    - Examples of highly-rated behaviors are:
        - Identifies the existence of problems
        - Accurately describes events, conditions or issues
        - Accurately describes job-related strengths and weaknesses
        - Differentiates symptoms from causes of problems
        - Develops creative solutions or service ideas
        - Demonstrates adequate basic skills
    - Examples of poorly-rated behaviors are:
        - Fails to consider relevant information when solving problems or making suggestions
        - Poor computing or reading ability interferes with ability to complete tasks
        - Routinely bases decisions on un-checked assumptions
        - Fails to appreciate the effects of decisions
        - Is not aware of personal weaknesses and their effects on others
        - Does not seek out pertinent information

- o **Customer Service: Ability to identify customers, determine the valid needs of a situation, and provide service or service recovery in a manner that satisfies the customer.**
- o Elements of customer service should include:
  - ▪ Ability to accurately determine customer needs and requests
  - ▪ Skills in dealing with angry or upset customers
  - ▪ Effective response to customer requests
  - ▪ Ability to develop service recovery agreements with customers (i.e. correcting mistakes and building goodwill toward the organization)
  - ▪ Skill in developing service improvements
  - ▪ Consistently placing priority on internal and external customer needs
- o Examples of highly-rated behaviors are:
  - ▪ Responds rapidly to customer requests, completing service or informing customer what to expect
  - ▪ Treats all customers with courtesy
  - ▪ Resolves differences or mistakes with customers effectively
  - ▪ Follows-up or provides feedback to customers as appropriate
  - ▪ Suggests or develops service improvements
  - ▪ Can identify customers and their primary needs
- o Examples of poorly-rated behaviors are:
  - ▪ Becomes angry or defensive with customers
  - ▪ Delivers services or implements policies in a manner that slows service time or affects service quality
  - ▪ Fails to return telephone calls
  - ▪ Refuses to admit or correct mistakes
  - ▪ Does not consider the impact of decision on customers
- o **Organizational and Community Sensitivity: Ability to take the larger perspective into account, recognize organizational and community priorities and balance actions appropriately.**
- o Elements of organizational and community sensitivity could include:
  - ▪ Understanding the strategy, goals and power structure of the organization
  - ▪ Demonstrating sensitivity to the political environment
  - ▪ Considering the impact of decisions on other employees or parts of the organization
  - ▪ Understanding the basic roles and responsibilities of local government
  - ▪ Supporting cooperation within and across department
  - ▪ Appreciating role in representing the organization in the community
- o Examples of highly-rated behaviors are:

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- Requests involvement of other departments before making service changes
- Invites cooperation or participation of others in projects which may impact them
- Considers impact of decisions on others' work
- Expresses awareness of conflicting points of view in the community or within the organization
- Considers Agency-side goals and objectives in setting priorities and delivering service

- o <mark>Examples of poorly-rated behaviors are</mark>:
  - Makes changes before considering their impact on other employees or departments
  - Speak negatively in public about other employees or departments
  - Undermines the work of others
  - Fails to become informed about organization-wide issues or changes
  - Cannot describe the importance of community/public relations aspects of his or her work

- o **Physical Skills: Ability to perform required jobs with adequate strength, dexterity, coordination and visual acuity (with reasonable accommodation[s] if needed) and in a manner that does not pose a direct threat to the health or safety of the employee or others in the workplace.**

- o Elements of physical skill could include:
  - Ability to lift objects of weights required by the job
  - Use of appropriate safety procedures
  - Adequate endurance for physical environment of the job (heat, cold, moisture)
  - Ability to use tools with appropriate dexterity
  - Mastery of necessary manual skills
  - Possession of required visual acuity (color and depth perception, field of vision)

- o <mark>Examples of highly-rated behaviors are</mark>:
  - Completes physical job components in appropriate time
  - Consistently follows safety procedures
  - Maintains and improves manual skills
  - Meets strength, physical ability and agility requirements

- o <mark>Examples of poorly-rated behaviors are</mark>:
  - Routinely slow in completing physical tasks
  - Consistently careless or fails to follow safety procedures
  - Engages in horseplay, fighting or other inappropriate use of physical ability at work
  - Fails to maintain strength, physical ability or agility as required

- o **Professional Conduct: Ability to exhibits personal conduct that demonstrates a commitment to public service. Ability and maturity to react in a professional manner, both within and outside the organization.**
- o Elements of professional conduct could include:
  - ▪ Appropriate business decorum and image
  - ▪ Mastery of subject matter
  - ▪ Stays current in profession
  - ▪ Loyalty to Organization and Mission
  - ▪ Commitment to public service
  - ▪ Promotes public confidence in municipal government
  - ▪ Demonstrates fairness and objectivity in all activities
  - ▪ Sets example by treating others with dignity and respect
  - ▪ Shows appreciation of others
  - ▪ Ethical standards
  - ▪ High ethical standards as evidenced by:
  - ▪ Exhibits/Models good work ethic
  - ▪ Exhibits/Models good character
- o <mark>Examples of highly-rated behaviors are</mark>:
  - ▪ Honors confidentiality
  - ▪ Is honest and truthful in all aspects of work
  - ▪ Provides open, courteous and accessible government services to all customers equally
  - ▪ Does not accept or apply improper influences, favoritism or personal bias
  - ▪ Welcomes other's ideas and suggestions
  - ▪ Accepts responsibility/accountability
  - ▪ Balances formality and friendliness
  - ▪ Others ask for guidance
  - ▪ Coaches peers/mentors others (gives back)
  - ▪ Known by customers to be honest and ethical
  - ▪ Excellent spokesperson for the Organization
  - ▪ Exhibits self-control in highly stressful situations
- o <mark>Examples of poorly-rated behaviors are</mark>:
  - ▪ Tends to be difficult under pressure
  - ▪ Rejects ideas of others in a disrespectful manner or with disdain
  - ▪ Serious errors in judgment
  - ▪ Careless follow-through
  - ▪ Sacrifices honesty and ethics in order to please others
  - ▪ Moody and quick-tempered; lack of patience; disrespectful
  - ▪ Does not honor work commitments; fails to model high work standards
  - ▪ Points fingers instead of accepting responsibility

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- Publicly criticizes actions and decisions of other employees, departments, or Board of Directors

Performance Appraisal Guidelines

- The Staff Performance Evaluation Form contains examples of the agency's core competencies. This has been established in order for management to more appropriately match performance to a level of performance increase.
- Supervisors should be thoughtful with scoring and should consider monthly reports, goals and statistics, on-going monitoring reports, special successes, and any adverse personnel actions.
- Rating scores should be true, fair, and accurate. An employee receiving an overall rating score of "2" will be placed on probation. An employee receiving an overall rating score of "1" will be terminated from employment.
    - If there is concern regarding an employee's performance, the employee should be made aware of the concern prior to their evaluation. During the performance appraisal should not be the first time the employee is told about any concerns.
    - Performance concerns should be brought to the employee's attention as soon as they develop.
- An excessive amount of scores of "3" will not be accepted.
- Comments are required for all rating scores except for "3". Please use spell check and proper grammar on these documents.

Processing Procedures

- Supervisors, through their Program Directors, shall send the Performance Evaluation Form for each employee on or before the employee's evaluation date to the Executive Director for approval.
- Experienced directors and supervisors may obtain permission to conduct performance appraisals without having the Executive Director's approval.
- Pay rate changes for performance will not be processed unless these documents accompany the request.
- Program Directors conducting performance evaluations on direct reports should send such rating and evaluation to the Executive Director for appropriate signature authority prior to processing.
- The Executive Director will send the performance evaluations to the Human Resource Manager for review.

Evaluation Dates

- Employee evaluations will occur at 90 days post hire and then at least annually prior to the end of the fiscal year unless otherwise dictated due to contract requirement. For example:

	○ Transportation DOT contracts which require annual reviews on the employee's hire date ○ Migrant Headstart will have separate timelines due to being a seasonal program ▪ More frequent evaluations will be utilized when deemed necessary. ▪ When an employee transfers to a new position within the agency, there will be an evaluation 90 days post transfer and annually thereafter.