

CITY OF APPLETON PERSONNEL POLICIES	TITLE: GOAL AND DEVELOPMENT EVALUATION	
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I. PURPOSE

Goal and Development Evaluations shall be considered in decisions affecting placement, salary adjustment, overtime assignments, promotions, transfers, demotions, corrective action or dismissal, order of lay-off, re-employment and training.

II. POLICY

It is the policy of the City of Appleton to administer a Goal and Development Evaluation Program which will: help assess an employee's work performance and effectiveness; allow the employee and supervisor to set objective goals and review them; suggest constructive action for improvement and suggest action for employee development; and provide positive feedback in areas of excellence.

III. DISCUSSION

The Human Resources Director shall be responsible for the overall administration of the employee Goal and Development Evaluation Program and shall advise and assist employees, rater's, raters' supervisors and department directors to insure that evaluation procedures are handled according to the provisions of this policy.

IV. DEFINITIONS

- A. Instructions and examples: The instructions and examples will give employees and supervisors ideas for developing goals. (Exhibit I)
- B. Goal and Development Evaluation Form: The form used to facilitate the process of employee performance evaluation, general pay adjustment and performance adjustments. (Attachment II)
- C. Job Target Form: The form used to assist the supervisor and employee in documenting performance targets and issues. (Attachment III)
- D. Rating supervisor: The rater shall be the employee's immediate supervisor.

- E. Rater's supervisor: The rater's supervisor shall be the person who manages the supervisor that is rating the employee.

V. PROCEDURE

Each supervisor and employee shall follow the timelines and procedures outlined below:

- A. Initial Appointment to a Position - Each employee shall be formally evaluated at month three and month six following appointment to a position. Each calendar year, employees shall develop and set goals based on their job descriptions. The goals shall be reviewed and approved by the employee's supervisor, rater's supervisor and department director.
- B. Mid-year - Each employee shall meet with his/her supervisor approximately mid-year to review his/her goals and sick leave usage. Employees and supervisor can make comments on a shortened form to indicate goal progress thus far. If necessary, the goals can be modified. The employee, supervisor, rater's supervisor and/or department director are required to sign the form and then forward it to the department director. The department director will review and forward the goals to Human Resources.
- C. Year-end - Employees shall meet with their supervisors prior to December 15th, if possible, to review their goals and performance along with sick leave usage for that year. The rating supervisor and employee shall evaluate each goal based on the following ratings: exceeded, met and did not meet. Both the rating supervisor and employee shall indicate the rating for each goal and make comments on how each goal was accomplished. If the rating is, "Exceeded" the employee and/or rating supervisor should provide justification or documentation (e.g. examples of excellent work) to support this rating. The rating supervisor and the employee shall also indicate overall whether or not the employee met, exceeded or did not meet the goals. Rating supervisors must include year-end comments. The employee, and rater's supervisor are required to sign the year-end form then forward it to the department director for signature review and to Human Resources for review. *Personal Development Plans Goals shall be optional and not a part of the overall evaluation determination for general pay performance adjustments. (Attachment I)*
- D. Format: All responses and ratings on the Goal and Development form must be typed to insure the responses are legible, as they become a part of the employee's permanent record.
- E. Job Targets : Supervisors shall develop Job Targets whenever there is significant concern about negative changes in an employee's performance.
- F. Other Reviews: A special review of the employee's goals shall be completed if it is anticipated a supervisor is permanently leaving his/her position, in which case, he/she shall complete the performance evaluation on each employee under his/her supervision prior to his/her departure from the City supervisory position.
- G. The supervisor must sign the appropriate goal forms at the beginning, at mid-year and at year-end.

If an employee reports to more than one supervisor it will be the responsibility of the supervisors to determine who will ultimately be responsible for the submission of the form.

Review by Supervisors: Supervisors serving as raters shall review any problematic areas they are aware of, that may arise during the Goal and Development meeting, before discussing the

evaluation with the employee, and before the evaluation is sent to Human Resources.

Review by Human Resources: Human Resources will review all Goal and Development Evaluations and recommendations from the supervisors before making the salary adjustments. The forms will be reviewed for accuracy, completeness, and justification based on the City's Salary Administration Policy. Human Resources will work with department directors to follow-up with the appropriate supervisors to obtain further supporting documentation if needed.

VI. APPEAL PROCESS

Any non-represented employee who does not agree with his/her supervisor's rating should present his/her concerns in writing on the Goal and Development form, to the rater's supervisor and department director. The rater's supervisor and department director shall consult with the Human Resources Director and the Library Board (if applicable).

The employee shall be notified of any decisions made at this step and that decision shall be final.

ATTACHMENT 1

GOAL & DEVELOPMENT FORM INSTRUCTIONS

This information will guide you in the completion of the Goal & Development form. If you have questions or need additional assistance, please contact the Human Resources Department.

PLANNING PROCESS – Job Goal Section

This process consists of describing and prioritizing major job responsibilities, setting and prioritizing goals, and identifying measurement criteria.

Major Job Responsibilities

The planning process begins with the employee and the rating supervisor meeting to identify, discuss and prioritize the employee's major areas of responsibility according to the current job description. Each major area of responsibility should be stated in clear and neutral terms. Some examples are: Record keeping, Training, Safety, Purchasing, Supervision.

Setting Goals & Measurement Criteria

In this step, the employee and the rating supervisor discuss and reach agreement on one or more goals in each area of responsibility, the measurement criteria to be used and how each goal is to be measured. If there is more than one goal stated for a responsibility, the goals should be listed in order of priority. It is important to set goals that are meaningful, measurable, and reflect what the employee is expected to accomplish over a given period of time. The number of goals set is not as important as the agreed-upon goals being a true representation of the employee's job; do, however, set at least one goal for each area of responsibility.

It is important that the employee and the rating supervisor develop and agree how each goal is to be measured. Make the measurement quantifiable where possible. The question to be answered by the measurement criteria is: "How do we (employee and supervisor) know that the goal is being achieved?". Do not set goals for which no measurement criteria can be established.

Some examples of measurement criteria are:

Quality:

Accuracy, clarity, thoroughness, acceptability, usefulness of results obtained, whether standards or specifications were met, efficiency.

Quantity:

Volume, how much, how many

Timeliness:

Deadlines met, turn around time, promptness

Cost Effectiveness:

Cost savings, staying within budget

Manner of performance:

Method of doing, how objective was accomplished, reaction of others such as the public, supervisor, other employees

Other:

Any other methods of measuring performance that you feel do not fall under the criteria listed above.

EXAMPLES OF GOALS ARE:

#1

Job Responsibility: Record Keeping

List a Goal: Prepare a report by May 1 on the feasibility of computerizing the department's record keeping system. Include both a cost analysis and a possible timetable for implementation.

#2a

Job Responsibility: Safety

List a Goal: Have 60% of the staff certified in CPR by July 31.

#2b

Job Responsibility: Safety

List a Goal: Do a safety inspection of the building each month.

#2c

Job Responsibility: Safety

List a Goal: See that all safety hazards uncovered by monthly safety inspections are corrected within two weeks of discovery.

#3

Job Responsibility: Budgeting

List a Goal: Reduce the part-time account by 15% by cross-training employees to cover for each other when they are off on sick leave.

PLANNING PROCESS – Training & Development Section

This process consists of identifying and setting personal development goals to enhance the overall skills of the employee.

Personal Development Goals

The planning process begins with the employee and the **rating** supervisor meeting to identify and discuss training and development needs for the next year. Goals in this area can be set to help improve or enhance employee skills or to assist the employee in developing new skills. Development goals can also focus on improving employee attributes such as getting along with others, decisiveness, judgement, problem solving, etc.

EXAMPLES OF PERSONAL DEVELOPMENT GOALS ARE:

Personal Development Goal: Become more proficient in Excel

How it will be Achieved: Take an approved course in Excel at the Technical College by June 1.

Personal Development Goal: Strengthen your short term planning and organizational skills.

How it will be Achieved: Begin using a daily or weekly "To Do List". These lists are to be turned in at the end of each month. These lists should be tied to your stated job goals.

Personal Development Goal: Improve your interaction with other staff members.

How it will be Achieved: When disagreements with other staff members occur, the discussion should be done in a constructive manner. When an agreement can't be reached, a supervisor should be involved.

Personal Development Goals shall be optional and not a part of the overall evaluation determination for general pay and performance adjustments

REVIEW PROCESS

The review process enables the rating supervisor and the employee to meet and review the employee's progress toward achieving his / her goals. Review sessions are to be held as often as necessary but at least three times during the calendar year evaluation period (in the beginning to set the goals, in the middle of the year and at year end). During these review sessions, either party may wish to discuss problems, deviations or modifications to the original goals. Typed comments by the employee and the rating supervisor shall be made **on the appropriate forms** at mid-year and at year-end.

EVALUATION PROCESS

The final evaluation process is done at the end of the year.

The first step is for the employee, on the evaluation form, to provide the rating supervisor with written comments on whether the employee did not meet, met or exceeded each goal and how that was accomplished.

In the first step, the employee and rating supervisor meet to review and discuss the evaluation. The conversation should focus on how well each goal was met, and include discussion about the employee's performance as it relates to the agreed upon measurement criteria for each goal.

The next step is for the rating supervisor to make comments on the evaluation form as to how well the employee did on each goal and whether or not the employee did not meet, met or exceeded each goal.

IMPORTANT: Upon completion of each section including signatures, a typed copy must be sent to the Rater's Supervisor, Department Director and the Human Resources Department.

EVALUATION –Overall Comments

This section is to be used for the employee and the rating supervisor to make additional comments on whether the employee has met, not met or exceeded his/her goals overall for that year. This section should be used to discuss overall performance goals and to justify the overall performance of the employee. Rating supervisors must make overall end of year comments.

**ATTACHMENT II
GOAL & DEVELOPMENT FORM EXAMPLE**

Employee:

Job Title:

Department:

Supervisor:

Year:

JOB GOAL SECTION

Goal #

Job Responsibility:

List a Goal Including How it will be Measured:

Target Date:

Mid Year Review – Use Mid year goal form found on the intranet under “Forms”

End of Year Evaluation

EMPLOYEE RESPONSE:

Not Met: Met: Exceeded:

SUPERVISOR REVIEW:

Not Met: Met: Exceeded:

TRAINING & DEVELOPMENT SECTION EXAMPLE

Training Goal

Personal Development Goal:

How Will it be Achieved:

Target Date:

Mid Year Review - Use Mid year goal form found on the intranet under "Forms"

End of Year Evaluation

EMPLOYEE RESPONSE:

Not Met: Met: Exceeded:

SUPERVISOR REVIEW:

Not Met: Met: Exceeded:

YEAR-END GOALS OVERALL COMMENT SECTION EXAMPLE

EMPLOYEE COMMENTS:

Not Met: Met: Exceeded:

SUPERVISOR COMMENTS:

Not Met: Met: Exceeded:

The employee and supervisor have met and agreed upon the goals as listed on the previous pages.

Employee Signature: _____ Date: _____

Rating Supervisor Signature: _____ Date: _____

Rater Supervisor Signature: _____ Date: _____

Department Director: _____ Date: _____

ATTACHMENT III
(JOB TARGET SHEET)

CITY OF APPLETON PERFORMANCE PLANNING EXAMPLE

JOB TARGET SHEET

Name: _____ Date: _____

1. Performance Area:
2. Criterion:*
3. Improvement Objective (applicable descriptions and/or definable deficiencies):
4. Procedures for Achieving Objective (explanation of employee and evaluator responsibilities):
5. Appraisal Method and Target Dates:
6. Employee Comments (a separate sheet may be used if necessary):
7. Evaluator Comments:

Employee's Signature/Date:

Evaluator's Signature/Date
(signatures simply imply that information has been discussed)

Date Objective Achieved:

Employee's Signature:

Evaluator's Signature:

*One job target sheet should be used for each criterion.

SUGGESTIONS FOR WRITING JOB TARGETS

Name: _____ Date: _____

1. Performance Area:

State here the performance area (major job responsibilities, general performance standards, or job factors)

2. Criterion:*

State here a criterion, e.g., completes in a timely manner assigned work

3. Improvement Objective (applicable descriptions and/or definable deficiencies):

State the desired objective (outcome) to be accomplished. This will often be similar to a descriptor for that criteria.

4. Procedures for Achieving Objective (explanation of employee and evaluator responsibilities):

Provide specific statements which describe what the employee is to do to achieve an objective and what you will do to assist. This is the process, the steps, and the ingredients for change.

5. Appraisal Method and Target Dates:

How will we know when progress is made? How will we monitor that progress? At what point in time do we expect achievement of the objective or adequate progress so that a time extension is appropriate?

6. Employee Comments (a separate sheet may be used if necessary):

Provide the employee with the opportunity to share his/her thoughts.

7. Evaluator Comments:

Be positive. If appropriate, take this opportunity to reinforce the change that needs to be made and why it is appropriate.

GOAL SETTING BEGINNING OF THE YEAR

The employee and supervisor have met and agreed upon the goals as listed on the previous pages.

Employee Signature: _____ Date: _____

Rating Supervisor Signature: _____ Date: _____

Rater Supervisor Signature: _____ Date: _____

Department Director Signature: _____ Date: _____

MID-YEAR GOALS – Use Mid year goal form found on the intranet under “Forms”

Year: _____

Employee: _____ Supervisor: _____

Employee Comments: (Please summarize your goal progress)

On track to _____ meet _____ exceed _____ not meet

Rating Supervisor Response:

On track to _____ meet _____ exceed _____ not meet

The employee and rating supervisor have met on mid-year goals and discussed sick leave usage.

Employee Signature: _____ Date: _____

Rating Supervisor Signature: _____ Date: _____

Department Director Signature: _____ Date: _____

YEAR-END OVERALL COMMENT SECTION

Employee and Supervisor have discussed sick leave usage.

EMPLOYEE COMMENTS:

Not Met: Met: Exceeded:

RATING SUPERVISOR COMMENTS:

Not Met: Met: Exceeded:

Employee Signature: _____ Date: _____

Rating Supervisor Signature: _____ Date: _____

Rater Supervisor Signature: _____ Date: _____

Department Director Signature: _____ Date: _____