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“The City of Houston recognizes that the quality of service we deliver depends on our employees. It is our policy to support employees by maintaining a fair and objective performance management process that provides consistent feedback and promotes growth and development.”

A handwritten signature in black ink that reads "Omar C. Reid". The signature is written in a cursive style with a large, stylized 'O' and 'R'.

Omar C. Reid, Director
Human Resources Department

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INTRODUCTION

OVERVIEW

In 2012, the City of Houston replaced the Employee Performance Evaluation (EPE) program with the Houston Employee Assessment and Review (HEAR) process as the city's employee assessment system. This document serves as a guide for supervisors and managers in their use of the Houston Employee Assessment and Review (HEAR) Process. The guidelines are supplemental to Administrative Procedure 3-20 (AP 3-20), and contain the following:

- Explanation of the core elements of the HEAR process, general requirements, key considerations for a successful assessment, roles and responsibilities, and assessment schedule.
- Major steps of the process, which include:
 - familiarizing the employee with the HEAR process
 - preparing the documentation associated with the process;
 - procedures for conducting the work progress meeting; and
 - recommendations on how to complete the HEAR process.
- Appendices containing the documents used to administer the HEAR process.

This document is not a City of Houston policy.

CORE ELEMENTS OF THE HEAR PROCESS

The HEAR process aims to support a culture of high performance based on the following core elements:

- Setting clear expectations for employees.
- Establishing **specific, measurable, achievable, relevant, and time-based (SMART)** goals and objectives. (For more about SMART goals, see "Developing Smart Goals and Objectives" on Page 10.)
- Providing ongoing feedback to let employees know how they are doing in their job performance, including recognition of achievements and/or opportunities for improvement.
- Enabling employees to see how they contribute to the City's performance and achievement of its goals.
- Identifying professional growth and development opportunities.

GENERAL REQUIREMENTS

To accomplish HEAR goals, supervisory personnel must;

- Align employee goals with city and departmental goals
- Align employee behavioral factors with departmental core values
- Establish SMART goals to communicate performance standards
- Document specific examples that support ratings
- Follow the established appeal processes to allow employees to address ratings of 2.99 and below
- Participate in training on the HEAR process

KEY CONSIDERATIONS FOR A SUCCESSFUL ASSESSMENT

RELEVANCE

All observations and comments must be relevant to specific tasks or individual goals established for the assessment and review period. To remain within the guidelines of relevance, consider the following:

- Refer frequently to the tasks and goals in the HEAR performance plan when assessing an employee's performance.
- Ensure documented observations are applicable to the particular task or objective on the assessment.
- Be objective when documenting observations of work behaviors and performance. Avoid subjective factors such as attitude, opinions or personal impressions.

FAIRNESS

Supervisory personnel should document each employee's performance in a consistent manner. To remain within the guidelines of fairness, consider the following:

- Provide positive feedback to employees when they perform well.
- Address and document inappropriate behavior or substandard performance when observed to allow employees an opportunity to improve.
- Conduct progress review meetings with every employee quarterly or at least semiannually, to provide feedback on his or her performance. When the meetings are properly conducted, the final assessment will less likely be a surprise to the employee.
- Make sure the comments, the language and the tone in the assessments are consistent for employees with the same level of performance. A key question to ask is, *"Would I have written the same thing about another employee if he or she had done the same thing?"*
- Avoid over-emphasizing one-time events. Documentation should be based on the most-often displayed behavior and performance.

COMPLETENESS

The combination of observations and documentation should provide a thorough, objective picture of an employee's performance. This information must convey an impartial and complete story to be fair to both the employee and the city. To remain within the guidelines of completeness, consider the following:

- Monitor the whole performance period, not just a single incident. Avoid using observations from the most recent events as a basis for the entire assessment period; with the exception of major violations of City policy.
- Consider unusual work circumstances during the review period, such as additional responsibilities or obstacles that impeded successful or timely task completion.
- Ensure documentation is clear and specific when summarizing positive and negative observations. Objective information and comments will help explain the assessment, and may encourage the employee to improve performance or continue to meet or exceed expectations.

ROLES AND RESPONSIBILITIES

THE EMPLOYEE'S RESPONSIBILITIES INCLUDE THE FOLLOWING:

- Be willing to suggest, discuss, and accept SMART goals and behavioral factors on the plan form
- Review and sign the current year's HEAR plan
- Provide input to supervisor or manager on his or her achievements
- Be open and willing to accept feedback and follow-through on development and growth suggestions
- Review and sign the current year's HEAR form

THE SUPERVISOR'S RESPONSIBILITIES INCLUDE THE FOLLOWING:

- Complete the HEAR process according to these guidelines
- Ensure objective rating criteria by developing SMART goals and behavioral factors, which are aligned with departmental strategic goals
- Prepare and discuss the HEAR plan form with the employee
- Provide feedback at least two (2) times per year using the plan form as a basis for the assessment
- Maintain complete documentation on employee performance
- Take appropriate steps to maintain effective levels of performance (including coaching, counseling, training, etc.)
- Identify professional growth and development opportunities
- Keep current on HEAR training
- Meet at least twice a year with reviewing authority to discuss HEAR progress

THE REVIEWING AUTHORITY'S RESPONSIBILITIES INCLUDE THE FOLLOWING:

- Ensure goals and behavioral factors are objective by following the SMART criteria
- Standardize weights and ratings when and where appropriate
- Address and resolve any concerns about weights and/or ratings with the supervisor. Verify that the supervisor's documentation supports the rating or weight; if not, propose an appropriate rating or weight for the supervisor's consideration. Reach an agreement before the employee receives the plan or assessment.
- Keep current on HEAR training
- Meet at least twice a year with supervisors to discuss HEAR progress

THE DEPARTMENT DIRECTOR'S RESPONSIBILITIES INCLUDE THE FOLLOWING:

- Establish strategic departmental goals and objectives each year
- Ensure departmental compliance with the objectives and procedures of the HEAR process

ASSESSMENT SCHEDULE

Supervisors and managers must complete an assessment during various times of the year. The table below outlines the assessment schedule based on the reason for completing the HEAR:

SCHEDULE FOR COMPLETING THE HEAR:	
REASON FOR ASSESSMENT	FREQUENCY
Employee probationary period	5 TH AND 11 TH MONTHS
Annual assessment period (non-supervisor)	APRIL
Annual assessment period (supervisors & managers)	MAY
Following a promotion	5 TH MONTH
Employee changes supervisors or tasks	UNSCHEDULED*
At the supervisor's discretion, following a significant improvement or deterioration in performance	

*For more details see Appendix A, When to Complete an Unscheduled Assessment

STEPS IN THE ASSESSMENT PROCESS

STEP ONE - INTRODUCING EMPLOYEES TO THE ASSESSMENT CONCEPT

The first step in introducing this concept is to explain the purpose, forms, and methods used to monitor performance. It is important that managers, supervisors, and employees understand the following expectations:

- Supervisors and employees are expected to meet to explain responsibilities and goals, discuss job tasks, and develop SMART goals and individual plan forms.
- Supervisors are expected to conduct periodic observations of employee performance during an assessment period. Observations provide an excellent opportunity for coaching and feedback, and should be recorded in writing.
- Work progress meetings will be scheduled at appropriate intervals to discuss and document how well employees are meeting expectations and performance goals.
- The *combined result* of the supervisor developing and communicating the SMART goals and behavioral factors, observing and providing regular feedback, and conducting the work progress meetings will determine the overall assessment rating.

STEP TWO - THE DOCUMENTATION PROCESS

PREPARING THE PLAN FORM

The plan form is a working agreement developed in the meeting between the supervisor and employee to outline the major tasks and responsibilities.

Before conducting this meeting, supervisors should review the employee's task list to determine the four most critical goals and objectives that align with the strategic goals of the division/department. These critical goals/objectives will be converted into SMART goals/objectives and used during the planning session.

If the overall number of the employee's SMART goals is greater than four (4), supervisors should check with the reviewing authority.

All employees must have a written plan form within thirty (30) days of the following events:

- Hire or rehire date
- Beginning of the assessment and review period
- Date of promotion

The checklist that follows will assist you in preparing and completing the plan form successfully.

CHECKLIST FOR CONDUCTING THE PLAN SESSION

WHO:	Employee and supervisor
WHEN:	Beginning of assessment period
WHAT YOU'LL NEED:	Employee's task list SMART Goals and objectives HEAR plan form

DATE COMPLETE	GUIDELINES
	1. Supervisor schedules the planning session with the employee
	2. Employee and supervisor discuss SMART goals and behavioral factors for the review period
	3. Reviewing authority reviews the form
	4. Employee signs and dates form
	5. Supervisor signs and dates form
	6. Reviewing authority signs and dates form
	7. Employee receives a copy of the form
	8. Original plan form is maintained to complete the HEAR process at the end of the review period

DEVELOPING SMART GOALS/OBJECTIVES

Goals and objectives are broadly defined as the purpose toward which an endeavor is directed; something that one's efforts or actions are intended to attain or accomplish; a target. Goals and objectives are often used interchangeably.

Generally, organizations have long-term goals set by management and short-term goals set by mid-level management and first-line supervisors. These goals are aligned with the mission, values, and strategic goals and objectives of their department, division, or work center and form the foundation for the employee assessment and review process.

Goals and objectives that have the best chance for success must be written, observable, and challenging and follow the SMART criteria to improve objectivity (specific and measurable); and increase consistency (achievable, relevant, and time-based).

Descriptions of SMART criteria are defined below:

SPECIFIC – Specific in this context means that an action or behavior is detailed, particular, or focused, and everyone understands exactly what is to be achieved and accomplished.

MEASURABLE – Measurable objectives are quantifiable and provide a verifiable, tangible, observable way to determine cost, quantity, time, quality, etc.

ACHIEVABLE – An achievable objective is reasonably challenging in terms of the scale, scope and resources of the task. But to be effective, it must also be realistic enough to attain success in the allotted time available.

RELEVANT – The objective is relevant when it relates to something that directly impacts, changes, or otherwise appropriately contributes to the mission and goals of the department, division, or work center.

TIME-BASED – The stated objective should clearly state a timeframe, deadline, or other time-bound expectation in which the action, activity, behavior, as well as expected changes, will take place.

DEVELOPING SMART GOALS *CONTINUED*

Writing clear and measurable goals/objectives is the most important task in the HEAR process. Clear and measurable goals/objective adds objectivity to the performance review process by providing a context for the employee to understand what is expected of them. The word “measureable” is defined by the following criteria:

MEASURABLE CRITERIA CONSIDERATIONS FOR RATINGS	
QUANTITY	How much of this task must the employee accomplish to be rated Exceptional, Exceeds Expectations, or Meets Expectations?
QUALITY	How well must the employee perform this task to be rated Exceptional, Exceeds Expectations, or Meets Expectations?
TIME	How long should the employee need to complete the task well enough to be rated Exceptional, Exceeds Expectations, or Meets Expectations?
COST	What budget was needed (or established by agreement) to complete this task well enough to be rated Exceptional, Exceeds Expectations, or Meets Expectations? (This may be a measure for management employees.)

 **Note:** Try to make all of the expectations and goals as precise as possible; however, there may be exceptions.

STEPS FOR WRITING SMART GOALS

The following is a suggested procedure for the supervisor when writing tasks and developing SMART goals and expectations:

1. Create a list of all responsibilities the employee actually performs for this position.
2. Review the list with the employee, and together break down responsibilities into critical tasks.
3. Determine the measurement criteria for each task by considering quality, quantity, timeliness, and cost (as appropriate)
4. Determine the remaining SMART criteria, ensuring the goal is challenging, achievable, applicable, observable and has a timeline
5. Develop the plan form using these SMART goals/objectives. The plan form should identify how well the employee must perform a task to receive a rating of Exceptional, Exceeds Expectations, or Meets Expectations.
6. Schedule a plan session to discuss the SMART goals/objectives with the employee.

SAMPLE SMART GOAL – PUD, UTILITY WORKER I

Department’s strategic goal/mission: To be the nation's leading Public Utility, champion for the environment, providing reliable service of exceptional quality to the most satisfied customers in the nation.

TASK:	Returns landscaping to original condition upon completion of water main repairs
EXPECTATION:	Landscaping is promptly returned to original condition on all job sites.

SMART GOAL:

To consistently receive no requests, within any given month, to return landscaping to its original condition on all job sites upon the completion of a water main repair.

SMART GOAL RATING CRITERIA	
RATINGS	OBJECTIVES
Employee will be rated:	If he or she performs as follows:
EXCEPTIONAL (5)	Within a month consistently receives no requests to return to job site for landscaping.
EXCEEDS EXPECTATIONS (4)	Within a month consistently receives only one (1) request to return to job site.
MEETS EXPECTATIONS (3)	Within a month consistently receives only two (2) requests to return to job site.
BELOW EXPECTATIONS (2)	Within a month consistently receives three (3) requests to return to job site.
NEEDS IMPROVEMENT (1)	Within a month receives four (4) or more requests to return to job site.

SAMPLE SMART GOAL - HRD, CUSTOMER SERVICE REPRESENTATIVE (CSR) II

Department's strategic goal/mission: To exceed the expectations of our stakeholders by committing to our shared values, and by achieving the highest levels of customer satisfaction.

TASK:	Answers customer calls and addresses inquiries at first point of contact.
EXPECTATION:	Answers customer inquiries at first contact so customer does not have to call back.

SMART GOAL:

To consistently answer all customer inquiries at first contact and receive no return calls to speak with another CSR or supervisor regarding an initial inquiry within one month's time.

SMART GOAL RATING CRITERIA	
RATINGS	OBJECTIVES
Employee will be rated:	If he or she performs as follows:
EXCEPTIONAL (5)	Within one month consistently receives no return calls to speak with another CSR or supervisor regarding an initial inquiry.
EXCEEDS EXPECTATIONS (4)	Within one month consistently receives no more than one (1) call to speak with another CSR or supervisor regarding an initial inquiry.
MEETS EXPECTATIONS (3)	Within one month consistently receives only two (2) calls to speak with another CSR or supervisor regarding an initial inquiry.
BELOW EXPECTATIONS (2)	Within one month consistently receives three (3) calls to speak with another CSR or supervisor regarding an initial inquiry.
NEEDS IMPROVEMENT (1)	Within one month consistently receives four (4) or more calls to speak with another CSR or supervisor regarding an initial inquiry.

GENERAL BEHAVIORAL FACTORS

Behavioral factors are competencies that should be aligned with departmental/division core values. Supervisors should determine which factors are critical in the achievement of a SMART goal/objective in support of the mission of the department.

Only critical behavioral factors should be rated on the assessment; approximately the top four core factors. This helps the employee understand the relationship between the performance criteria of the SMART goal/objective (what they do); and the manner in which they achieve the performance (how they do it).

If you have two (2) or more employees with the same position title and similar responsibilities, you should choose the same behavioral factors for each. Any exceptions should be approved by your reviewing authority.

FACTOR	GENERAL BEHAVIORAL FACTOR DEFINITIONS
ADAPTABILITY	<p>Refers to the employee’s ability to:</p> <ul style="list-style-type: none"> a. Accept change readily, both in job responsibilities as well as in the work environment. b. Maintain effectiveness when experiencing changes in work assignments, processes or conditions. c. Seek to understand changes and approaches change positively. d. Adjust behavior to deal effectively with changes in the work environment.
ANALYTICAL SKILLS	<p>Refers to the employee’s ability to:</p> <ul style="list-style-type: none"> a. Gather and analyze available information for use in demonstrating, testing and/or solving simple-to-complex concepts or problems. b. Sift and sort through possible solutions to find those that best fit the current need.
ATTENDANCE AND PUNCTUALITY	<p>Refers to the employee’s ability to:</p> <ul style="list-style-type: none"> a. Work when scheduled, with no unscheduled absences. b. Follow procedures for any scheduled absences. c. Begin and end shifts at scheduled times. d. Follow procedures for notifying supervisor if or when tardiness may occur.
COMMUNICATION (ORAL & WRITTEN)	<p>Refers to the employee’s ability to:</p> <ul style="list-style-type: none"> a. Exchange information and ideas that impact and influence others. b. Be clear, concise and organized in one’s communications. c. Demonstrate business-appropriate language skills.
COOPERATION	<p>Refers to the employee’s ability to:</p> <ul style="list-style-type: none"> a. Work pleasantly and effectively with other employees and departments. b. Work pleasantly and effectively with external customers and the public.

FACTOR	GENERAL BEHAVIORAL FACTOR DEFINITIONS
CUSTOMER FOCUS	<p>Refers to the employee's ability to:</p> <ul style="list-style-type: none"> a. Meet the expectations and requirements of internal and external customers. b. Get first-hand customer information and use it for improvements in products and services. c. Act with customers in mind. d. Establish and maintain effective relationships with customers and gain their trust and respect. e. Show enthusiasm for job.
DEPENDABILITY	<p>Refers to the employee's ability to:</p> <ul style="list-style-type: none"> a. Recognize and demonstrate actions and behaviors that significantly contribute to both internal and external success. b. Inspire confidence in others based on a proven ability to deliver results
EMPLOYEE DEVELOPMENT	<p>Refers to the employee's ability to:</p> <ul style="list-style-type: none"> a. Provide challenging stretching tasks and assignments. b. Hold frequent development discussions. c. Maintain awareness of each employee's career goals. d. Construct and execute compelling development plans e. Encourage employees to accept developmental activities. f. Assist those employees who need help and further development. g. Cooperate with the developmental staff in the organization.
ETHICS AND VALUES	<p>Refers to the employee's ability to:</p> <ul style="list-style-type: none"> a. Adhere to an appropriate and effective set of core values and beliefs during both good and bad times and act in line with those values. b. Act in line with those values. c. Reward the right values and disapprove of others. d. Practice those actions he/she prescribes for others.
EXCELLENCE	<p>Refers to the employee's ability to:</p> <ul style="list-style-type: none"> a. Demonstrate a constant effort to achieve and/or enhance high quality. b. Produce results that meet or exceed expectations.
JOB KNOWLEDGE	<p>Refers to the employee's ability to:</p> <ul style="list-style-type: none"> a. Master the concepts needed to perform certain work. b. Leverage jobs knowledge and expertise. c. Recognize job priorities. d. Understand how job relates to organizational objectives and align the work accordingly. e. Keep up with current trends in areas of expertise. f. Complete work accurately the first time with little or no rework required.

FACTOR	GENERAL BEHAVIORAL FACTOR DEFINITIONS
JOB PERFORMANCE	Refers to the employee's ability to: <ol style="list-style-type: none"> a. Demonstrate knowledge of job standards and procedures that apply to the position. b. Produce or perform work with good quality, consistency, accuracy, and/or appearance. c. Accept responsibility and perform routine and special assignments with minimum supervision. d. Set priorities and organize work activities as needed. e. Produce quantity of work in relation to the acceptable standards determined for the job. f. Meet deadlines when performing or producing the work.
JUDGMENT	Refers to the employee's ability to: <ol style="list-style-type: none"> a. Make timely and sound recommendations that withstand examination. b. Gather and interpret relevant information prior to making decisions. c. Formulate realistic and successful solutions.
PLANNING AND ORGANIZATION	Refers to the employee's ability to: <ol style="list-style-type: none"> a. Prioritize and plan work activities. b. Use time efficiently. c. Plan for additional resources. d. Identify and plan for improvements and efficiencies in work duties, procedures, and priorities. e. Adapt strategy quickly to changing conditions and priorities.
PROBLEM SOLVING	Refers to the employee's ability to: <ol style="list-style-type: none"> a. Cope with problem situations of varying degrees of complexity or challenge. b. Evaluate and/or analyze information and provide interpretation in a timely manner.
PROJECT MANAGEMENT	Refers to the employee's ability to: <ol style="list-style-type: none"> a. Lead temporary endeavors with defined beginnings and ends (usually time-constrained, and often constrained by funding or quality and/or scope of deliverables). b. Plan, organize, secure, and manage resources to achieve specific goals. c. Ensure projects managed meet defined goals and objectives.
SAFETY AND SECURITY	Refers to the employee's ability to: <ol style="list-style-type: none"> a. Focus attention on safety issues and observe appropriate security procedures. b. Follows safety procedures. c. Attend and participate in safety meetings. d. Complete required safety training. e. Identify safety concerns.

FACTOR	GENERAL BEHAVIORAL FACTOR DEFINITIONS
TEAMWORK	<p>Refers to the employee's ability to:</p> <ul style="list-style-type: none"> a. Collaborate with others to achieve results. b. Work well with fellow employees in a cooperative and team-oriented manner. c. Place higher priority on team/organizational goals than on own goals. d. Motivate fellow employees. e. Take responsibility and initiative and lead by example. f. Serve as project or team leader if called upon.
UTILIZATION OF TIME	<p>Refers to the employee's ability to:</p> <ul style="list-style-type: none"> a. Produce an acceptable quantity of work that indicates efficient use of time. b. Control time spent on personal telephone calls and conversations with other workers, and time spent away from work area.

SUPERVISOR/MANAGER BEHAVIORAL FACTORS

These behavioral factors are competencies that are in addition to the general behavioral factors on the Supervisor and Manager assessment form. As mentioned previously, supervisors should determine which factors are critical in the achievement of a SMART goal/objective in support of the mission of the department.

Only critical supervisor/manager behavioral factors should be rated on the assessment; approximately the top four core factors.

If you have two (2) or more employees with the same title and similar responsibilities, you must choose the same Supervisor/Manager behavioral factors for each. Any exceptions must be approved by your reviewing authority. *For example, a supervisor with three (3) direct reports, each having the title of Administrative Supervisor probably should choose the same Supervisor/Manager behavioral factors - in this case Delegation, Leadership, and Managing People, on all three (3) plan forms.)*

FACTOR	SUPERVISOR/MANAGER BEHAVIORAL FACTOR DEFINITIONS
CONFLICT RESOLUTION	<p>Refers to the supervisor's or manager's ability to:</p> <p>Express alternate points of view in a non-threatening way.</p> <p>Recognize when it is appropriate to compromise and when it is important to take a stand.</p>
COST CONSCIOUSNESS	<p>Refers to the supervisor's or manager's ability to:</p> <p>Adopt an organization-wide attitude about the topics of cost</p> <p>Understand the impacts of cost containment, cost avoidance, and cost reduction.</p> <p>Manage areas or tasks while keeping costs in mind and under control.</p>

FACTOR	SUPERVISOR/MANAGER BEHAVIORAL FACTOR DEFINITIONS
DELEGATION	Refers to the supervisor's or manager's ability to: <ol style="list-style-type: none"> a. Delegate both routine and important tasks and decisions. b. Share both responsibility and accountability for accomplishing tasks. c. Trust people to perform d. Allow direct reports and others to finish their own work.
DIVERSITY COMMITMENT	Refers to the supervisor's or manager's ability to: <ol style="list-style-type: none"> a. Recognize actions and behaviors that contribute to creating and managing a diverse workforce.
LEADERSHIP	Refers to the supervisor's or manager's ability to: <ol style="list-style-type: none"> a. Influence others to accomplish organizational objectives. b. Direct the organization in a way that makes it more cohesive and coherent.
MANAGING PEOPLE	Refers to the supervisor's or manager's ability to: <ol style="list-style-type: none"> a. Align each subordinate employee's goal with one or more of your own goals. b. Manage and/or supervise employees effectively, efficiently, and fairly.
PERFORMANCE COACHING	Refers to the supervisor's or manager's ability to: <ol style="list-style-type: none"> a. Recognize and leverage the strengths and improvement opportunities in all employees. b. Help subordinates achieve their responsibilities and improve their performance.

THE WEIGHT SYSTEM

Each individual SMART Goal, Behavioral Factor, and Supervisor/Manager Factor is assigned an appropriate weight by a percentage based on the importance of that goal or factor. The percentages (weights) in each section of the assessment (i.e., SMART goals, Behavioral Factors, and Supervisor/Management Factors) should add up to 100% of the overall assessment rating.

Non-supervisory Form: The SMART Goal Rating Summary will have an overall assessment rating of 50%; and the Behavioral Factor Rating Summary will have the remaining 50% for a total of 100%.

Supervisor/Manager Form: The SMART Goal Rating Summary will comprise 50% of the overall assessment rating; the Behavioral Factor Rating Summary will have an additional 25%; and the Supervisor/Manager Behavioral Factor Rating Summary will also comprise 25%, for a total of 100%.

STEP THREE – PROCEDURES FOR THE SUPERVISOR’S WORK PROGRESS MEETING

The goal of the HEAR process is to encourage on-going communication between supervisory personnel and the employee(s) they supervise. This is an opportunity to give recognition, recommendations, receive input, and identify opportunities to improve performance.

The work progress meetings provide feedback to the employee during the assessment period. Each employee must understand that his/her assessment will be based on the SMART goals and behavioral factors in the plan.

The supervisor and the employee may agree to change the plan form during the work progress meeting. Changes added to the plan form must be in writing, initialed, and dated by the supervisor and employee. These changes should be reviewed by the Reviewing Authority. Extra pages may be added if needed to accompany any changes made.

KEY POINTS TO REMEMBER

- Meet quarterly or at least semi-annually (20 to 40 minute sessions are recommended.)
- Discuss achievements, concerns, behaviors, and performance referring to the plan form
- Encourage communication
- Document each meeting; a form similar to the sample Supervisor’s Work Progress Meeting Form in Appendix F is encouraged
- Meet with each employee at the same time intervals, and for approximately the same length of time
- Meet at least twice a year with your reviewing authority to review your documentation

1.

GUIDELINES FOR CONDUCTING A WORK PROGRESS MEETING

Ask the employee for feedback about his or her performance.

For example, you might say:

“Joe, let’s start with you telling me how you feel you’re doing on the job. Are you satisfied with your performance? What areas in your performance would you say are the most challenging?”

This question allows employees to provide their perspective on their performance. Engage in active listening and be sure to take notes. Give the employee your undivided attention.

Give positive feedback to employee when he or she meets/exceeds performance expectations.

For example, you might say:

“Yes, that’s good! I agree – you do a good job coordinating your crew and taking care of your equipment.”

In this step, discuss the tasks and responsibilities listed on the plan form. Be specific; all comments should be directly related to the items on the plan form.

Focus on solutions to problems and major issues.

For example, you might say:

“You mentioned you’re not satisfied with the teamwork in your area. Any ideas on what we can do to promote the team spirit? What can we do to turn this situation around?”

In this step, include the employee in defining the problem and developing a viable solution. Be aware of your verbal and non-verbal communication to keep the discussion moving in a positive direction.

Review points discussed and determine future goals for the next meeting.

For example, you might say:

“We agree that you have met performance expectations in these areas: coordinating your crew personnel, taking care of your equipment, and time and attendance. We also agree that you will work on building teamwork in your area. Is that your understanding of our discussion?”

In this step you are confirming the discussion and reviewing commitments. Be sure your employee understands what goals are to be met by the next meeting date.

STEP FOUR - COMPLETING THE HEAR PROCESS

CHECKLIST FOR THE PERFORMANCE ASSESSMENT

WHO:	Employee Supervisor Reviewing Authority
WHEN:	End of assessment period, or as scheduled
WHAT YOU'LL NEED:	Observation notes, plan form, and assessment documentation, such as the Supervisor's Work Progress Meeting Form
DATE COMPLETED:	
	1. Review documentation and plan form; assign rating to SMART goals and behavioral factors.
	2. Complete reason for rating and provide any suggestions for improvement.
	3. Review overall assessment rating.
	4. Send to reviewing authority for approval.
	5. Schedule a meeting with employee to discuss the performance assessment.
	6. Supervisor and employee sign and date the completed assessment form.
	7. Submit to reviewing authority for signature.
	8. Give copy to employee.
	9. Keep copy in your file; send original to your department's designated collection point for forwarding to Human Resources department.
	10. Set a date to develop a new plan form with employee.

RATINGS

Assign ratings for each SMART goal and behavioral factor according to the following scale:

RATING	VALUE	DESCRIPTION
EXCEPTIONAL	5	The employee consistently achieves performance objectives above-and-beyond the standard. Their work performance is exemplary and provides major contributions to the work unit. This individual is seen as a role model.
EXCEEDS EXPECTATIONS	4	The employee consistently exceeds performance expectations. Work performance surpasses standard expectations for others in the job.
MEETS EXPECTATIONS	3	The employee meets and achieves performance expectations in a satisfactory manner. Overall performance reflects ongoing achievements and improvements.
BELOW EXPECTATIONS	2	The employee does not fully meet performance expectations. They show a need for improvement in training and additional effort.
NEEDS IMPROVEMENT	1	The employee does not meet performance expectations. Overall performance is unacceptable.

CALCULATING AND ROUTING THE ASSESSMENT

To calculate the final assessment score, follow the steps below:

1. Select rating from the drop down list for the SMART Goal
2. Select rating from the drop down list for the Behavioral Factor
3. Select rating from the drop down list for the Management Factor (for rating supervisors and managers only)
4. The form will automatically calculate the overall rating

APPENDICES

Appendix A – When to Complete an Unscheduled HEAR

Appendix B – The Appeal Process

Appendix C – Administrative Procedure 3-20

Appendix D – Proposed Performance Management Summary Workflow

Appendix E – Non-supervisor and Supervisor/Manager Forms

Appendix F – Sample Supervisor’s Work Progress Meeting Form

WHEN TO COMPLETE AN UNSCHEDULED ASSESSMENT

Complete an unscheduled assessment when the following conditions exist:

1. It is necessary to complete a special purpose assessment, such as to document an extraordinary event, or improved, or deteriorated performance.
2. Employees with an overall performance rating of “below expectations” shall be reassessed within 120 days or at the discretion of the director.
3. The employee’s supervisor changes the tasks, weights, goals, or behavioral factors previously accepted by the employee.
4. The employee is reassigned to a new supervisor. The employee’s former supervisor should complete a HEAR based on his/her observation of the employee’s performance. The new supervisor must then complete a new plan form on the new employee or affirm the current plan form.
5. In situations where there are scheduled rotations, the department may set its own guidelines regarding unscheduled HEAR Reviews.

 Note: An unscheduled HEAR should not be completed sooner than ninety (90) days after presenting the plan form to the employee. Exceptions may be granted at the discretion of the department director or designee.

To change or reaffirm previous HEAR plan forms, the supervisor must:

- Review changes with the Reviewing Authority
- Meet with the employee and discuss the changed or reaffirmed plan form
- Document any changes on the existing plan form and initial them; request the employee to do the same
- Together with the employee, sign and date the HEAR plan form
- Be sure to give the employee a copy and to file a copy of the current plan form

APPEAL PROCESS

GRIEVANCE

Any appeal of an overall HEAR assessment of 2.99 or below can be filed through the city's grievance process, in compliance with the guidelines established by the Human Resources department.

DEPARTMENTAL GUIDELINES

Consult the department guidelines for any other appeal process, such as Employee Concern Resolution Program (ECRP).

ADMINISTRATIVE PROCEDURE 3-20

**CITY OF HOUSTON**

Administrative Procedure

Subject:	Houston Employee Assessment and Review (HEAR) Process	A.P. No:	3-20
		Effective Date:	September 17, 2012

1. AUTHORITY

1.1 Chapter 14, Article II, Division 13, Section 14-162 of the Code of Ordinances.

2. PURPOSE

2.1 To provide a consistent employee performance management process, the Houston Employee Assessment and Review (HEAR), for municipal employees that supports a culture of high performance by motivating, recognizing and developing employees to achieve objectives and goals on their performance plan aligned with City and departmental objectives and goals.

3. OBJECTIVES

3.1 To support a culture of high performance facilitated by the HEAR process founded on the following core elements:

- 3.1.1 SMART (specific, measurable, achievable, relevant and timely) employee performance goals aligned with the City's/department's/division's strategic goals;
- 3.1.2 Assurance of fairness and objectivity through the training of supervisors and managers;
- 3.1.3 Simple and short forms identifying the core goals and behaviors to be achieved;
- 3.1.4 Regular communication with employees (quarterly or at least semi-annual updates) to recognize, motivate and/or provide opportunities to improve performance; and
- 3.1.5 Growth and development opportunities.

4. DEFINITIONS

4.1 *Houston Employee Assessment and Review (HEAR) form* – A form used to communicate to the employee his/her SMART performance goals/objectives and behavioral factors over a defined period of time that is used for both the reviews (quarterly or at least semi-annual) and the final assessment.

Approved:

Date Approved:

09/17/2012

Page 1 of 4

5. SCOPE

- 5.1 All municipal employees shall have their performance assessed in accordance with this policy. Exceptions include department directors and executive level employees above pay grade 26 as well as part-time, seasonal and temporary employees. These exceptions may be assessed using the HEAR process at the discretion of the department director or Mayor. This policy shall not cover police officers or fire fighters covered under Chapter 143 of the Local Government Code of the State of Texas.

6. RESPONSIBILITIES

- 6.1 Directors are responsible for:
- 6.1.1 Ensuring that the management and supervisors of their department understand and incorporate the core elements of the HEAR process.
 - 6.1.2 Ensuring that the supervisors and managers have access to the Human Resources Department for training on how to prepare HEAR performance plans, provide ongoing communication with employees and complete assessments.
- 6.2 Supervisors and managers will be responsible for:
- 6.2.1 Learning and following the core elements of the HEAR process.
 - 6.2.2 Providing assessments on an annual basis or as scheduled. If the supervisor is not available, the supervisor's manager will complete the assessment.
 - 6.2.3 Communicating to the employee about expected performance goals/objectives, whether on a formal or informal basis.
 - 6.2.4 Ensuring that all finalized HEAR forms are received by the Human Resources Department for inclusion in the employee's official file.
 - 6.2.5 Ensure timely administration of HEAR process, which should be incorporated in the supervisor's and/or manager's performance assessment.
- 6.3 Employees will be responsible for:
- 6.3.1 Providing suggestions and having the willingness to discuss SMART goals/objectives and behavioral factors on the plan form with the intent to reach a mutual agreement;
 - 6.3.2 Providing input to supervisor or manager on achievements;
 - 6.3.3 Accepting feedback and follow-through on development and growth suggestions;
 - 6.3.4 Reviewing and signing the current year's HEAR plan as well as the final HEAR form.
- 6.4 The Human Resources Department will be responsible for:
- 6.4.1 Providing formats of the HEAR forms for both reviews and assessments.
 - 6.4.2 Providing training on "best practices" in developing and communicating the employee performance plans and evaluations, as well as providing ongoing feedback.
 - 6.4.3 Preparing an annual report to the Mayor reflecting departmental compliance with this policy.

Subject: Houston Employee Assessment and Review Process	A. P. No.: 3-20	Page 2 of 4
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7. PROCEDURES

7.1 The following process is recommended to accomplish the HEAR program objectives:

7.1.1 At the beginning of the performance review process:

7.1.1.1 The department and/or divisions should establish annual strategic goals, objectives and core values that can be translated into SMART goals/objectives and behavioral factors for each employee.

7.1.1.2 On the employee's HEAR form, his/her goals/objectives and behavioral factors should be aligned with:

- the department's and/or division's strategic goals/objectives and core values; and
- the supervisor's goals/objectives.

7.1.1.3 The supervisor and employee should discuss the SMART goals/objectives and behavioral factors with the intent to reach a mutual agreement. However, if a mutual agreement is not reached, the supervisor has the final determination on the SMART goals/objectives and behavioral factors to be included on the HEAR form.

7.1.2 Throughout the performance review period, the supervisor will:

7.1.2.1 Provide continuous feedback, including quarterly or at least semi-annual reviews, on performance.

7.1.2.2 Review the HEAR form with the employee for any modifications to goals/objectives or behavioral factors.

7.1.3 At the end of the performance review period:

7.1.3.1 The employee provides input on his/her achievements.

7.1.3.2 The supervisor completes the performance assessment and submits it to his/her manager for review.

7.1.3.3 The supervisor discusses the performance assessment with the employee and recommends development and growth opportunities.

7.1.3.3.1 If any changes to ratings on the performance assessment occur during this discussion, the supervisor should submit the revised performance assessment to his/her manager for review.

7.1.3.4 The performance assessment is finalized by signatures of the employee, supervisor and manager.

7.1.3.4.1 A signature by an employee does not indicate an agreement with the rating given to the employee, but simply indicates that the employee has received the performance assessment.

7.1.3.4.2 Should an employee refuse to sign, the supervisor shall write "Employee refuses to sign" and sign his/her name to the document along with the date and his/her employee number.

Subject: Houston Employee Assessment and Review Process	A. P. No.: 3-20	Page 3 of 4
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- 7.2 The performance assessments are to be given to the employees on a regularly scheduled basis to ensure consistency across departments:
- 7.2.1 Performance assessments should be conducted during the fifth (5th) and the eleventh (11th) month of a new hire's probationary period, and then annually thereafter.
 - 7.2.2 For promotions with a change in pay grade, a five (5) month assessment should be conducted.
 - 7.2.3 For all municipal employees, annual assessments are to be conducted in April (non-supervisors) and May (supervisors and managers).
 - 7.2.4 Performance assessment schedules may change at the discretion of the Mayor.
 - 7.2.5 Department directors have the authority to increase the frequency of an employee's performance assessment, for reasons such as the restructuring of the department or a division, or to document extraordinary or unacceptable performance.
 - 7.2.6 Employees with an overall performance rating of "below expectations" shall be reassessed within 120 days or at the discretion of the director. A civil service employee has the right to appeal an overall assessment rating of 2.99 or less through the City's grievance process.
 - 7.2.7 Any employee with two consecutive assessment ratings of "below expectations" may be subject to disciplinary action up to and including termination or indefinite suspension. This applies even if the employee has not had any prior disciplinary actions performed against him/her.

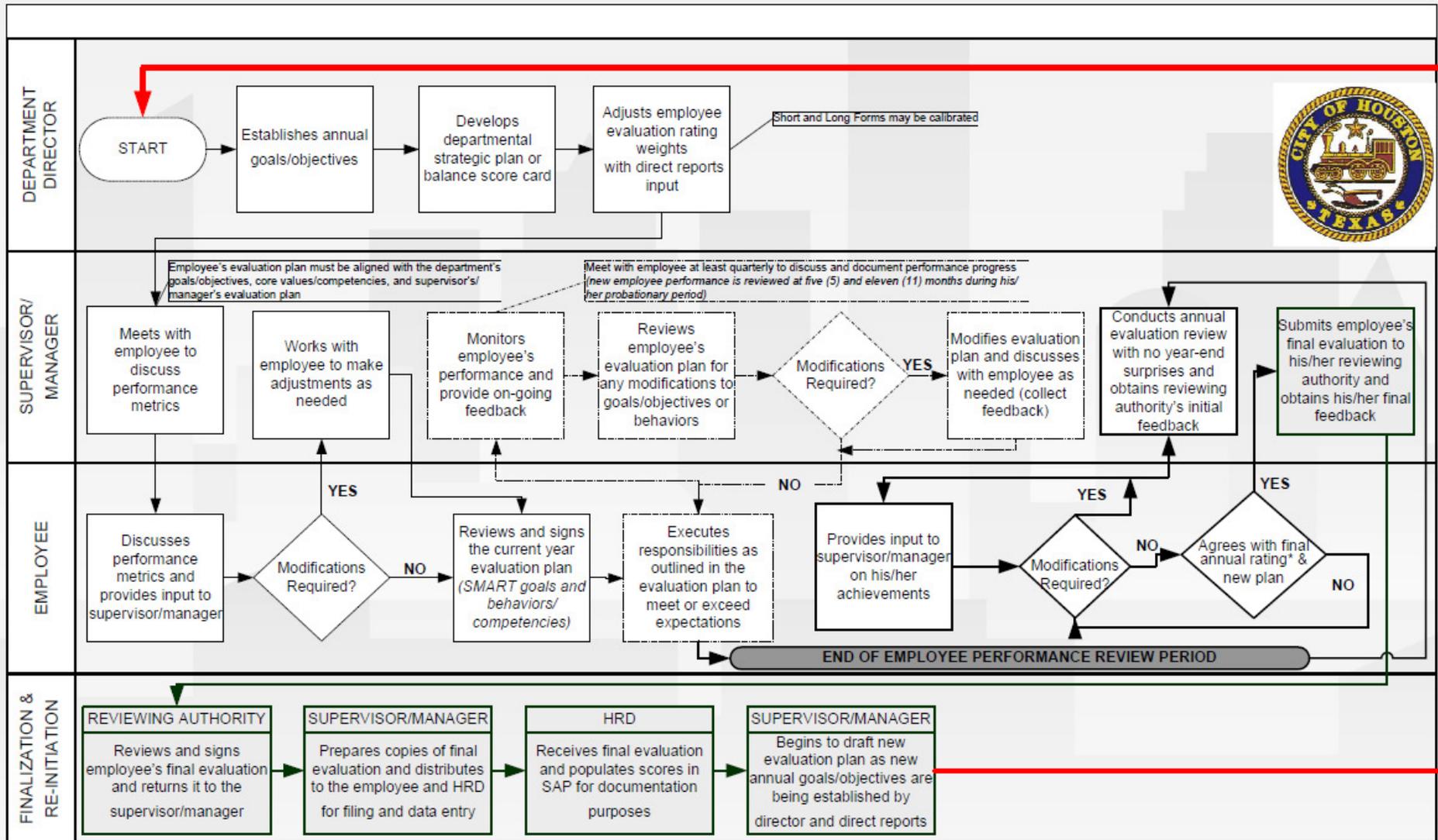
PROPOSED PERFORMANCE MANAGEMENT SUMMARY WORKFLOW

The following information was taken from the Business Case revised for the Labor Management Cooperation Council (LMCC) Report and describes a proposed performance management Business Process Flow illustrated on the following page.

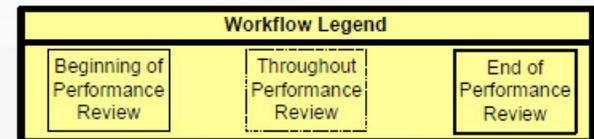
In the 2011 Meet and Confer Agreement negotiations between the Houston Organization of Public Employees (HOPE) and the City, HOPE brought forth a need for Employee Performance Evaluation (EPE) reform, which was identified as a priority by members in a survey conducted by HOPE. The members requested a system (process) that is fair, equitable, and effective. Article 12.02 was placed in the contract to address this identified priority to:

“...establish a task force...which shall analyze the overall effectiveness (or ineffectiveness) of the existing Employee Performance Evaluation (EPE) system. Upon completion of the analysis but no later than December 30, 2011, the task force shall provide a report to the LMCC identifying the strength and weaknesses of the existing EPE, and containing recommended means of improving upon or modifying the existing EPE system, or in the alternative recommending an alternate system of the employee evaluation. The LMCC shall reach agreement on a recommendation to the Mayor....no later than February 15, 2012. The Mayor shall implement any changes the Mayor determines necessary to make the City’s employee evaluation system fair, equitable and effective.”

Performance Management Summary Workflow (AP 3-20)



* Employees may seek to address unresolved performance management issues using one of the City's dispute resolution alternatives (i.e. ECRP, Grievance, etc.)



NON-SUPERVISOR FORM*

The Non-supervisor form serves a dual purpose: 1) It is used as the plan form during the quarterly or semi-annual review to communicate the employee’s expected SMART performance goals/objectives and behavioral factors; and 2) it is used as the final assessment to rate each SMART goal/objective and Behavioral Factor.

 HOUSTON EMPLOYEE ASSESSMENT AND REVIEW			
NON-SUPERVISOR FORM			
A. Demographics	NAME	EMPLOYEE ID	REVIEW PERIOD to DISCUSSION DATE
	POSITION TITLE	JOB CODE	DEPARTMENT
	SUPERVISOR/MANAGER	SUPERVISOR/MANAGER ID	EMPLOYEE HIRE DATE TYPE OF REVIEW Select Review Type
B. Add SMART Goal/Objective		>>THEN >> Select Rating from list below	
		A. Select Rating from Drop Down List	
		B. Select Rating from Drop Down List	
		C. Select Rating from Drop Down List	
		D. Select Rating from Drop Down List	
SMART Goal Comments/Observations:			
SMART Goal Rating Summary (Weight = 50% of Overall Rating)			0.00
C. Select Behavioral Factor from list below		>>THEN >> Select Rating from list below	
1. Select Behavioral Factor from Drop Down		A. Select Rating from Drop Down List	
2. Select Behavioral Factor from Drop Down		B. Select Rating from Drop Down List	
3. Select Behavioral Factor from Drop Down		C. Select Rating from Drop Down List	
4. Select Behavioral Factor from Drop Down		D. Select Rating from Drop Down List	
Behavioral Factor Comments/Observations:			
Behavioral Factor Rating Summary (Weight = 50% of Overall Rating)			0.00
OVERALL ASSESSMENT RATING			0.00
Employee Signature		Employee #	Date
Employee Comments/Observation:			
<small>I certify that I had the opportunity to write comments on this review and that it has been discussed with me. I understand that I may appeal this review through the City's formal grievance procedure within thirty calendar days from the date of my signature, if my rating is less than meets expectations.</small>			
Supervisor/Manager Signature		Supervisor/Manager #	Date
Supervisor/Manager Comments/Observation:			
Reviewing Authority Signature		Reviewing Authority #	Date
Reviewing Authority Comments/Observation:			

* Note: The final HEAR form for non-supervisors may have a different look and feel

The SMART goals and Behavioral Factors are individually weighed to equal an accumulative 100% (i.e., 50% SMART goals and 50% Behavioral Factors)

When completing the HEAR Non-supervisor form:

1. Identify no more than four (4) primary SMART goals/objectives that align with the department’s strategic goals
2. Select no more than four (4) behavioral factors, that align with the department’s core values or missions
3. Apply an objective rating on both the SMART goals and behavioral factors
4. Provide suggestions and comments that are constructive or recognize performance

Page 2 through 3 of the Non-supervisor form provides a detailed definition of each of the Non-supervisor Behavioral Factors and the rating categories.

Behavioral Factor Definitions

1. **Adaptability** - refers to the employee's ability to:
 - a. Accept change readily, both in job responsibilities as well as in the work environment.
 - b. Maintain effectiveness when experiencing changes in work assignments, processes or conditions.
 - c. Seek to understand changes and approaches change positively.
 - d. Adjust behavior to deal effectively with changes in the work environment.
2. **Analytical Skills** - refers to the employee's ability to:
 - a. Gather and analyze available information for use in demonstrating, testing and/or solving simple-to-complex concepts or problems.
 - b. Sift and sort through possible solutions to find those that best fit the current need.
3. **Attendance and Punctuality** - refers to the employee's ability to:
 - a. Work when scheduled, with no unscheduled absences.
 - b. Follow procedure for any scheduled absences.
 - c. Begin and end shifts at scheduled times.
 - d. Follow procedure for notifying supervisor if or when tardiness may occur.
4. **Communication (Oral & Written)** - refers to the employee's ability to:
 - a. Exchange information and ideas that impact and influence others.
 - b. Be clear, concise and organized in one's communications.
 - c. Demonstrate business-appropriate language skills.
5. **Cooperation** - refers to the employee's ability to:
 - a. Work pleasantly and effectively with other employees and departments.
 - b. Work pleasantly and effectively with external customers and the public.
6. **Customer Focus** - refers to the employee's ability to:
 - a. Meet the expectations and requirements of internal and external customers.
 - b. Get first-hand customer information and use it for improvements in products and services.
 - c. Act with customers in mind.
 - d. Establish and maintain effective relationships with customers and gain their trust and respect.
 - e. Show enthusiasm for job.
7. **Dependability** - refers to the employee's ability to:
 - a. Recognize and demonstrate actions and behaviors that significantly contribute to both internal and external success.
 - b. Inspire confidence in others based on a proven ability to deliver results.
8. **Employee Development** - refers to the employee's ability to:
 - a. Provide challenging stretching tasks and assignments.
 - b. Hold frequent development discussions.
 - c. Maintain awareness of each employee's career goals.
 - d. Construct and execute compelling development plans
 - e. Encourage employees to accept developmental activities.
 - f. Assist those employees who need help and further development.
 - g. Cooperate with the developmental staff in the organization.
9. **Ethics and Values** - refers to the employee's ability to:
 - a. Adhere to an appropriate and effective set of core values and beliefs during both good and bad times.
 - b. Act in line with those values.
 - c. Reward the right values and disapprove of others.
 - d. Practice those actions he/she prescribes for others.
10. **Excellence** - refers to the employee's ability to:
 - a. Demonstrate a constant effort to achieve and/or enhance high quality.
 - b. Produce results that meet or exceed expectations.
11. **Job Knowledge** - refers to the employee's ability to:
 - a. Master the concepts needed to perform certain work.
 - b. Leverage jobs knowledge and expertise.
 - c. Recognize job priorities.
 - d. Understand how job relates to organizational objectives and align the work accordingly.
 - e. Keep up with current trends in areas of expertise.
 - f. Complete work accurately the first time with little or no rework required.

12. **Job Performance** - refers to the employee's ability to:
 - a. Demonstrate knowledge of job standards and procedures that apply to the position.
 - b. Produce or perform work with good quality, consistency, accuracy, and/or appearance.
 - c. Accept responsibility and perform routine and special assignments with a minimum of supervision.
 - d. Set priorities and organize work activities as needed.
 - e. Produce quantity of work in relation to the acceptable standards determined for the job.
 - f. Meet deadlines when performing or producing the work.
13. **Judgment** - refers to the employee's ability to:
 - a. Make timely and sound recommendations that withstand examination.
 - b. Gather and interpret relevant information prior to making decisions.
 - c. Formulate realistic and successful solutions.
14. **Planning and Organization** - refers to the employee's ability to:
 - a. Prioritize and plan work activities.
 - b. Use time efficiently.
 - c. Plan for additional resources.
 - d. Identify and plan for improvements and efficiencies in work duties, procedures, and priorities.
 - e. Adapt strategy quickly to changing conditions and priorities.
15. **Problem Solving** - refers to the employee's ability to:
 - a. Cope with problem situations of varying degrees of complexity or challenge.
 - b. Evaluate and/or analyze information and provide interpretation in a timely manner.
16. **Project Management** - refers to the employee's ability to:
 - a. Lead temporary endeavors with defined beginnings and ends (usually time-constrained, often constrained by funding or quality and/or scope of deliverables).
 - b. Plan, organize, secure, and manage resources to achieve specific goals.
 - c. Ensure projects managed meet defined goals and objectives.
17. **Safety and Security** - refers to the employee's ability to:
 - a. Focus attention on safety issues and observe appropriate security procedures.
 - b. Follows safety procedures.
 - c. Attend and participate in safety meetings.
 - d. Complete required safety training.
 - e. Identify safety concerns.
18. **Teamwork** - refers to the employee's ability to:
 - a. Collaborate with others to achieve results.
 - b. Work well with fellow employees in a cooperative and team-oriented manner.
 - c. Place higher priority on team/organizational goals than on own goals.
 - d. Motivate fellow employees.
 - e. Take responsibility and initiative and lead by example.
 - f. Serve as project or team leader if called upon.
19. **Utilization of Time** - refers to the employee's ability to:
 - a. Produce an acceptable quantity of work that indicates efficient use of time.
 - b. Control time spent on personal telephone calls and conversations with other workers, and time spent away from work area.

Rating Definitions:

Exceptional (5): The employee consistently achieves performance objectives above-and-beyond the standard.
 Their work performance is exemplary and provides major contributions to the work unit.
 This individual is seen as a role model.

Exceeds Expectations (4): The employee consistently exceeds performance expectations.
 Work performance surpasses standard expectations for others in the job.

Meets Expectations (3): The employee meets and achieves performance expectations in a satisfactory manner.
 Overall performance reflects ongoing achievements and improvements.

Below Expectations (2): The employee does not fully meet performance expectations.
 They show a need for improvement in training and additional effort.

Needs Improvement (1): The employee does not meet performance expectations.
 Overall performance is unacceptable.

SUPERVISOR AND MANAGER FORM*

The Supervisor and Manager form has a dual purpose: 1) It serves as the plan form during the quarterly or semi-annual review to communicate to the supervisor or manager his/her expected SMART performance goals/objectives, behavioral factors, and Management factors; and, 2) It is used as the final assessment to rate each SMART goal/objective, Behavioral Factor, and Supervisor/Manager Factor.

 HOUSTON EMPLOYEE ASSESSMENT AND REVIEW			
SUPERVISOR AND MANAGER FORM			
A. Demographics	NAME	EMPLOYEE ID	REVIEW PERIOD to
	POSITION TITLE	JOB CODE	DISCUSSION DATE
	SUPERVISOR / MANAGER	DEPARTMENT	
	SUPERVISOR / MANAGER ID	EMPLOYEE HIRE DATE	TYPE OF REVIEW Select Review Type
B. Add SMART Goal/Objective		>>THEN>> Select Rating from list below	
		A. Select Rating from Drop Down List	
		B. Select Rating from Drop Down List	
		C. Select Rating from Drop Down List	
		D. Select Rating from Drop Down List	
SMART Goal Comments/Observations:			
SMART Goal Rating Summary (Weight = 50% of Overall Rating)			0.00
C. Select Behavioral Factor from list below		>>THEN>> Select Rating from list below	
1. Select Behavioral Factor from Drop Down		A. Select Rating from Drop Down List	
2. Select Behavioral Factor from Drop Down		B. Select Rating from Drop Down List	
3. Select Behavioral Factor from Drop Down		C. Select Rating from Drop Down List	
4. Select Behavioral Factor from Drop Down		D. Select Rating from Drop Down List	
Behavioral Factor Comments/Observations:			
Behavioral Factor Rating Summary (Weight = 25% of Overall Rating)			0.00
D. Select Supervisor/Manager Factor from list below		>>THEN>> Select Rating from list below	
1. Select Management Factor from Drop Down		A. Select Rating from Drop Down List	
2. Select Management Factor from Drop Down		B. Select Rating from Drop Down List	
3. Select Management Factor from Drop Down		C. Select Rating from Drop Down List	
4. Select Management Factor from Drop Down		D. Select Rating from Drop Down List	
Supervisor/Manager Factor Comments/Observations:			
Management Rating Summary (Weight = 25% of Overall Rating)			0.00
OVERALL ASSESSMENT RATING			0.00
Employee Signature _____ Employee # _____ Date _____			
Employee Comments/Observation:			

The Supervisor and Manager Form contains additional management behavioral factors and competencies essential for achieving the department’s strategic goals or core missions.

The area circled on the form highlights the drop-down menus to select and rate no more than four Supervisor / Manager Behavioral Factors. This section is not available on the Non-supervisor Form.

One of the four selected Supervisor / Manager Behavioral Factors should evaluate how the manager executes the performance assessment process.

The SMART goals and Behavioral Factors are individually weighed to equal an accumulative 100% (i.e., 50% SMART goals, 25% Behavioral Factors, and 25% Management Factors).

I certify that I had the opportunity to write comments on this review and that it has been discussed with me. I understand that I may appeal this review through the City's formal grievance procedure within thirty calendar days from the date of my signature, if my rating is less than meets expectations.

* Note: The final HEAR form for supervisors and managers may have a different look and feel

Pages 2 through 4 of the Supervisor and Manager form contain the signature blocks and comments sections; and define each of the Behavioral Factors, Supervisor/Manager Behavior Factors, and rating categories.

Supervisor/Manager Signature			Supervisor/Manager #			Date		
Supervisor/Manager Comments/Observation:								
Reviewing Authority			Reviewing Authority #			Date		
Reviewing Authority Comments/Observation:								

Behavioral Factor Definitions

1. **Adaptability** - refers to the employee's ability to:
 - a. Accept change readily, both in job responsibilities as well as in the work environment.
 - b. Maintain effectiveness when experiencing changes in work assignments, processes or conditions.
 - c. Seek to understand changes and approaches change positively.
 - d. Adjust behavior to deal effectively with changes in the work environment.
2. **Analytical Skills** - refers to the employee's ability to:
 - a. Gather and analyze available information for use in demonstrating, testing and/or solving simple-to-complex concepts or problems.
 - b. Sift and sort through possible solutions to find those that best fit the current need.
3. **Attendance and Punctuality** - refers to the employee's ability to:
 - a. Work when scheduled, with no unscheduled absences.
 - b. Follow procedure for any scheduled absences.
 - c. Begin and end shifts at scheduled times.
 - d. Follow procedure for notifying supervisor if or when tardiness may occur.
4. **Communication (Oral & Written)** - refers to the employee's ability to:
 - a. Exchange information and ideas that impact and influence others.
 - b. Be clear, concise and organized in one's communications.
 - c. Demonstrate business-appropriate language skills.
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 - a. Work pleasantly and effectively with other employees and departments.
 - b. Work pleasantly and effectively with external customers and the public.
6. **Customer Focus** - refers to the employee's ability to:
 - a. Meet the expectations and requirements of internal and external customers.
 - b. Get first-hand customer information and use it for improvements in products and services.
 - c. Act with customers in mind.
 - d. Establish and maintain effective relationships with customers and gain their trust and respect.
 - e. Show enthusiasm for job.
7. **Dependability** - refers to the employee's ability to:
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 - b. Inspire confidence in others based on a proven ability to deliver results.
8. **Employee Development** - refers to the employee's ability to:
 - a. Provide challenging stretching tasks and assignments.
 - b. Hold frequent development discussions.
 - c. Maintain awareness of each employee's career goals.
 - d. Construct and execute compelling development plans
 - e. Encourage employees to accept developmental activities.
 - f. Assist those employees who need help and further development.
 - g. Cooperate with the developmental staff in the organization.

Supervisor and Manager Form - Page 3

9. **Ethics and Values** - refers to the employee's ability to:
 - a. Adhere to an appropriate and effective set of core values and beliefs during both good and bad times.
 - b. Act in line with those values.
 - c. Reward the right values and disapprove of others.
 - d. Practice those actions he/she prescribes for others.
10. **Excellence** - refers to the employee's ability to:
 - a. Demonstrate a constant effort to achieve and/or enhance high quality.
 - b. Produce results that meet or exceed expectations.
11. **Job Knowledge** - refers to the employee's ability to:
 - a. Master the concepts needed to perform certain work.
 - b. Leverage jobs knowledge and expertise.
 - c. Recognize job priorities.
 - d. Understand how job relates to organizational objectives and align the work accordingly.
 - e. Keep up with current trends in areas of expertise.
 - f. Complete work accurately the first time with little or no rework required.
12. **Job Performance** - refers to the employee's ability to:
 - a. Demonstrate knowledge of job standards and procedures that apply to the position.
 - b. Produce or perform work with good quality, consistency, accuracy, and/or appearance.
 - c. Accept responsibility and perform routine and special assignments with a minimum of supervision.
 - d. Set priorities and organize work activities as needed.
 - e. Produce quantity of work in relation to the acceptable standards determined for the job.
 - f. Meet deadlines when performing or producing the work.
13. **Judgment** - refers to the employee's ability to:
 - a. Make timely and sound recommendations that withstand examination.
 - b. Gather and interpret relevant information prior to making decisions.
 - c. Formulate realistic and successful solutions.
14. **Planning and Organization** - refers to the employee's ability to:
 - a. Prioritize and plan work activities.
 - b. Use time efficiently.
 - c. Plan for additional resources.
 - d. Identify and plan for improvements and efficiencies in work duties, procedures, and priorities.
 - e. Adapt strategy quickly to changing conditions and priorities.
15. **Problem Solving** - refers to the employee's ability to:
 - a. Cope with problem situations of varying degrees of complexity or challenge.
 - b. Evaluate and/or analyze information and provide interpretation in a timely manner.
16. **Project Management** - refers to the employee's ability to:
 - a. Lead temporary endeavors with defined beginnings and ends (usually time-constrained, often constrained by funding or quality and/or scope of deliverables).
 - b. Plan, organize, secure, and manage resources to achieve specific goals.
 - c. Ensure projects managed meet defined goals and objectives.
17. **Safety and Security** - refers to the employee's ability to:
 - a. Focus attention on safety issues and observe appropriate security procedures.
 - b. Follows safety procedures.
 - c. Attend and participate in safety meetings.
 - d. Complete required safety training.
 - e. Identify safety concerns.
18. **Teamwork** - refers to the employee's ability to:
 - a. Collaborate with others to achieve results.
 - b. Work well with fellow employees in a cooperative and team-oriented manner.
 - c. Place higher priority on team/organizational goals than on own goals.
 - d. Motivate fellow employees.
 - e. Take responsibility and initiative and lead by example.
 - f. Serve as project or team leader if called upon.
19. **Utilization of Time** - refers to the employee's ability to:
 - a. Produce an acceptable quantity of work that indicates efficient use of time.
 - b. Control time spent on personal telephone calls and conversations with other workers, and time spent away from work area.

Supervisor and Manager Form - Page 4

Supervisor / Manager Factor Definitions

1. **Conflict Resolution** - refers to the manager's or supervisor's ability to:
 - a. Express alternate points of view in a non-threatening way.
 - b. Recognize when it is appropriate to compromise and when it is important to take a stand.
2. **Cost Consciousness** - refers to the manager's or supervisor's ability to:
 - a. Adopt an organization-wide attitude about the topics of cost
 - b. Understand the impacts of cost containment, cost avoidance, and cost reduction.
 - c. Manage areas or tasks while keeping costs in mind and under control.
3. **Delegation** - refers to the manager's or supervisor's ability to:
 - a. Delegate both routine and important tasks and decisions.
 - b. Share both responsibility and accountability for accomplishing tasks.
 - c. Trust people to perform
 - d. Allow direct reports and others to finish their own work.
4. **Diversity Commitment** - refers to the manager's or supervisor's ability to:
 - a. Recognize actions and behaviors that contribute to creating and managing a diverse workforce.
5. **Leadership** - refers to the manager's or supervisor's ability to:
 - a. Influence others to accomplish organizational objectives.
 - b. Direct the organization in a way that makes it more cohesive and coherent.
6. **Managing People** - refers to the manager's or supervisor's ability to:
 - a. Align each subordinate employee's goal with one or more of your own goals.
 - b. Manage and/or supervise employees effectively, efficiently and fairly.
7. **Performance Coaching** - refers to the manager's or supervisor's ability to:
 - a. Recognize and leverage the strengths and improvement opportunities in all employees.
 - b. Help subordinates achieve their responsibilities and improve their performance.

Rating Definitions:

Exceptional (5): The employee consistently achieves performance objectives above-and-beyond the standard.

Their work performance is exemplary and provides major contributions to the work unit.
This individual is seen as a role model.

Exceeds Expectations (4): The employee consistently exceeds performance expectations.

Work performance surpasses standard expectations for others in the job.

Meets Expectations (3): The employee meets and achieves performance expectations in a satisfactory manner.

Overall performance reflects ongoing achievements and improvements.

Below Expectations (2): The employee does not fully meet performance expectations.

They show a need for improvement in training and additional effort.

Needs Improvement (1): The employee does not meet performance expectations.

Overall performance is unacceptable.

TAKE A DEEPER LOOK:

The Supervisor / Manager Factor definitions do not appear on the Non-supervisor Form.

SAMPLE SUPERVISOR'S WORK PROGRESS MEETING FORM

Employee Name: _____

Employee Number: _____

Position Title: _____

Meeting Date: _____

Areas where SMART goals and behavioral factors are being met or exceeded:

Areas where improvement is needed:

Employee Comments:

Supervisor Comments:

Employee Signature (optional)

Date

Supervisor Signature (optional)

Date

Reviewing Authority Signature (optional)

Date

Distribution: Original to supervisor, copy to employee

GLOSSARY

BEHAVIORAL FACTOR:	Behavioral characteristic(s) or trait(s) necessary to perform the assigned tasks.
EMPLOYEE PERFORMANCE MANAGEMENT PROCESS:	An organized process of planning and reviewing an employee's performance, and providing feedback to the employee.
OBJECTIVES:	A measurable goal indicating how well a task must be performed to be rated according to the level of performance.
PROMOTION:	A change in the employee's classification to a higher pay grade.
REVIEWING AUTHORITY:	The level of supervision higher than the evaluator. Usually this will be the immediate supervisor's manager.
REVIEW PERIOD:	The date of the review cycle. The Discussion Date is the date the assessment is conducted, which appears on the first page of the HEAR form.
SMART GOALS:	The tasks assigned to the person in a particular position in conjunction with the goals and/or objectives, which should be s pecific, m easurable, a chievable, r elevant, and t imely.
SUPERVISOR/EVALUATOR:	The person who directly supervises the employee being evaluated and who has the authority to recommend personnel actions such as hiring, promotion, demotion, disciplinary actions, and termination.
UNSCHEDULED ASSESSMENT:	An assessment completed when an employee changes supervisors or tasks, and at the supervisor's discretion, following a significant improvement or deterioration in an employee's performance.
WORK PROGRESS REVIEW MEETING:	A meeting conducted quarterly at least or semi-annually, with each employee to discuss areas where goals and behavioral factors are being met or exceeded, and areas where improvement is needed.