

VILLAGE OF BAYSIDE POLICY: HR011	Title: PERFORMANCE APPRAISALS	
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I. PURPOSE

The Village’s performance appraisal process has been designed to provide a vital link between our vision, mission, strategic values, and individual staff members. It is also designed to ensure that goals and objectives flow from the top of the organization to each employee. It is integral to fostering an engaged and productive workforce, recognizing good performance, and managing underperformance.

II. POLICY

It is the policy of the Village of Bayside to develop its employees to their fullest potential through continuous employee development. This policy provides established procedures for evaluating employees’ performance and communicating performance expectations. The purpose of this policy is to ensure that a consistent approach is followed for conducting performance appraisals. This policy establishes a system for:

- A. Monitor employee progress, providing constructive feedback and evaluating performance;
- B. Set performance goals and objectives as well as career development goals;
- C. Align performance plans with the Village’s strategic plan;
- D. Foster open communication between and the active participation of supervisors and employees in the process; and
- E. Establish timeline and process for conducting performance appraisals.

III. RESPONSIBILITIES

- A. It is the responsibility of each **Department Head** to:
 1. Familiarize themselves with the performance appraisal system objectives and procedures;
 2. Carry out their responsibilities according to this policy;
 3. Continually review the performance appraisal system to ensure it will support the achievement of the organization’s objectives;
 4. Fairly and consistently evaluate each individual’s performance against these objectives;
 5. Ensure that all Supervisors are aware of their responsibilities in the performance appraisal process;
 6. Provide ongoing development of Supervisors’ skills that are required to effectively conduct performance appraisal;

- B. It is the responsibility of **Supervisors** to:
1. Monitor and document employee performance during the performance period, which should include ongoing communication with the employee about their performance;
 2. Seek regular feedback from employees; provide employees with the resources, information and training they need to carry out their work safely and effectively;
 3. Establish performance goals, standards and deadlines with employees;
 4. Address instances of poor performance or other significant performance issues in a timely manner and recognize employees who demonstrate high-quality performance;
 5. Prepare performance appraisals, ensure that all significant performance issues are documented, and meet with employees to discuss their appraisal and development needs.
- C. It is the responsibility of **Employees** to:
1. Manage their performance to achieve goals and bring to their supervisor's attention circumstances that may affect their achievement;
 2. Understand their supervisor's expectations and requests clarification if necessary;
 3. Participate openly and honestly in planning and assessing their own performance objectives and receiving feedback from their manager or supervisor.
 4. Participate with their supervisor to develop performance expectations and revise them as necessary during the performance period;
 5. Address aspects of performance identified as needing improvement.

IV. PROCESS AND TIMELINES

- A. Employee development and performance appraisal is a continuous process, one that culminates in a performance appraisal but is expected to be a continual conversation between supervisors and employees. All employees shall be evaluated at minimum, at each step in their wage and compensation progression or annually, whichever may be applicable.
- B. From the initial date of employment or transfer/promotion to a new position, employees shall be evaluated at the following times:
1. Step 1: Initial date of employment or transfer/promotion to a new position;
 2. Step 2: Any time after Six (6) months from the initial date of employment or transfer/promotion to a new position;
 3. Step 3: Any time after Twelve (12) months from the initial date of employment or transfer/promotion to a new position, and, at minimum, 6 months after the achievement of Step 2;
 4. Step 4: Any time after Eighteen (18) months from the initial date of employment or transfer/promotion to a new position, and, at minimum, 12 months after the achievement of Step 3;
 5. Step 5: Any time after Twenty-four (24) months from the initial date of employment or transfer/promotion to a new position, and, at minimum, 12 months after the achievement of Step 4;

6. Step 6: Any time after Thirty-six (36) months from the initial date of employment or transfer/promotion to a new position, and, at minimum, 12 months after the achievement of Step 5;
 7. Step 7: Any time after Forty-eight (48) months from the initial date of employment or transfer/promotion to a new position, and, at minimum, 12 months after the achievement of Step 6;
 8. Step 8: Any time after Sixty (60) months from the initial date of employment or transfer/promotion to a new position, and, at minimum, 12 months after the achievement of Step 7; and
 9. Step 9: Any time after Seventy-two (72) from the initial date of employment or transfer/promotion to a new position, and, at minimum, 12 months after the achievement of Step 8.
- C. In preparation of appraisals for employees specified within section IV. B.
1. The immediate supervisor shall provide the employee being evaluated their self-appraisal form thirty (30) days prior to the anniversary date of the employee.
 2. The Employee shall complete and return their signed self-appraisal form to their immediate supervisor fifteen (15) days prior to the anniversary date of the employee.
 3. The supervisor and employee shall schedule; conduct; for the next performance period, define each performance factor and develop SMART goals and their respective weightings for the next appraisal period; and sign the appraisal on or before the anniversary date of the employee.
- D. Employees not specified in section IV. B. shall be evaluated, at minimum, by December 15 of each year.
1. By October 15, the immediate supervisor shall provide the employee being evaluated their self-appraisal form.
 2. By November 15, the employee shall complete and return their signed self-appraisal form to their immediate supervisor form.
 3. By December 15, the supervisor and employee shall schedule; conduct; for the next performance period, define each performance factor and develop SMART goals and their respective weightings for the next appraisal period; and sign the appraisal.
- E. Timely completion of each component of the appraisal process is essential for addressing performance issues as well as recognizing superior performance, providing feedback for employee development, and be courteous and respectful for both the employee and supervisor.
1. Supervisors and employees who do not adhere to the timeline within the policy will not be eligible for a step increases until full compliance compliance with this policy and be subject to the progressive disciplinary process.

2. The Village will not process retroactive pay for employees or supervisors for appraisals not completed within the timelines prescribed in this policy. Process completion is defined as obtaining signatures from the employee, immediate supervisor, department head, and Village Manager. Upon signature by the Village Manager, the compensation adjustment will be processed.
3. Supervisors who have outstanding or delinquent employee performance appraisals shall not be eligible for compensation adjustments. Should a supervisor be delinquent in completing any of their respective employee's evaluations, their next eligible compensation adjustment shall be delayed by the same number of days. For example, Supervisor #1 is 10 days late with Employee A's evaluation, 20 days late with Employee B's evaluation, and 30 days late with Employee C's evaluation, Supervisor #1 compensation adjustment shall be delayed by the cumulative 60 days. Should a Supervisor have completed their step progression, any applicable annual COLA increase would be delayed as set forth above.

V. PERFORMANCE PLANNING

- A. The performance appraisal system's job specific appraisal and performance factors are designed to provide the opportunity to establish performance factors which can be reviewed and modified in response to employee performance.
- B. Supervisors will work with their employee to collectively develop performance factors, as well as define each performance factor on the performance factor appraisal form.
- C. Supervisors will work with each employee to jointly develop goals and their respective weighting of each goal. These goals or expectations should be SMART:
 1. S – Specific: When setting a goal, be specific about what you want to accomplish. Think about this as the mission statement for your goal. This isn't a detailed list of how you're going to meet a goal, but it should include an answer to the popular 'w' questions:
 - a. Who – Consider who needs to be involved to achieve the goal (this is especially important when you're working on a group project).
 - b. What – Think about exactly what you are trying to accomplish and don't be afraid to get very detailed.
 - c. When – You'll get more specific about this question under the "time-bound" section of defining S.M.A.R.T. goals, but you should at least set a time frame.
 - d. Where – This question may not always apply, especially if you're setting personal goals, but if there's a location or relevant event, identify it here.
 - e. Which – Determine any related obstacles or requirements. This question can be beneficial in deciding if your goal is realistic. For example, if the goal is to open a baking business, but you've never baked anything before, that might be an issue. As a result, you may refine the specifics of the goal to be "Learn how to bake in order to open a baking business."
 - f. Why – What is the reason for the goal? When it comes to using this method for employees, the answer will likely be along the lines of company advancement or career development.

2. M – Measurable: What metrics are you going to use to determine if you meet the goal? This makes a goal more tangible because it provides a way to measure progress. If it's a project that's going to take a few months to complete, then set some milestones by considering specific tasks to accomplish.
 3. A – Achievable: This focuses on how important a goal is to you and what you can do to make it attainable and may require developing new skills and changing attitudes. The goal is meant to inspire motivation, not discouragement. Think about how to accomplish the goal and if you have the tools/skills needed. If you don't currently possess those tools/skills, consider what it would take to attain them.
 4. R – Relevant: Relevance refers focusing on something that makes sense with the broader Village goals. For example, if the Village is to launch a new program, it should be something that's in alignment with the overall Village objectives.
 5. T – Time-Bound: Anyone can set goals, but if it lacks realistic timing, chances are you're not going to succeed. Providing a target date for deliverables is imperative. Ask specific questions about the goal deadline and what can be accomplished within that time period. If the goal will take three months to complete, it's useful to define what should be achieved half-way through the process. Providing time constraints also creates a sense of urgency.
- D. Appraisal criteria should include the individual's development over the previous appraisal period and outline the individual's development priorities for the following appraisal period.
- E. The supervisor should consider what skills, knowledge and competencies are required to achieve the objectives outlined in the performance appraisal, and to close the gap on current and planned competencies.
- F. Performance appraisals are worth up to 400 points, divided into two parts: Job Specific Performance Factors and SMART Goals. The assignment of possible points is classified as follows:
- a. The Chief of Police, Communications Director, Administrative Services Director, Assistant Village Manager, Information Technology Director and Public Works Operations Superintendent shall have 300 possible points allocated towards goals and 100 possible points allocated towards job specific performance factors.
 - b. The Police Lieutenants, Dispatch Supervisors, Training Coordinator, Enterprise Manager shall have 200 possible points allocated towards goals and 200 possible points allocated towards job specific performance factors.
 - c. Remaining positions in the organization shall have 100 possible points allocated towards goals and 300 possible points allocated towards job specific performance factors.

- i. Evaluations within this classification will include four predefined performance factors, including Job Knowledge, Teamwork, Quality of Work, and Accountability, each with a point value of 20. Ten additional performance factors equaling 220 points will be developed by the supervisor and employee.
- d. For all positions, job specific performance factors should be weighted in 10-point increments with a value of 10, 20, or 30.
- e. For all positions, SMART goals should be weighted in 10-point increments with a value between 10 and 70.
- f. All positions shall have a minimum of five (5) SMART goals per appraisal period.
- G. Supervisors will meet privately with each employee to finalize the expectations for the upcoming period, discuss and provide the employee a copy of their performance appraisal.
- H. After the supervisor meets with the employee, the completed performance appraisal is signed by the employee and supervisor and submitted to the department head and village manager for review and approval.

VI. DURING THE PERFORMANCE PERIOD

- A. Supervisors should frequently document each employee's performance during the appraisal period. At the end of the appraisal period, performance notes should be used to develop the performance appraisal.
- B. Supervisors and employees will complete a minimum of one interim performance review during the appraisal period. The supervisor will meet with the employee to review and discuss the interim review.
- C. Interim appraisals are informal and shall review employee's performance as well as the status of goals. The interim appraisal is intended for informational use only to be used when completing the performance appraisal.
- D. Incidents of exceptional or exemplary performance or behavior should be documented in the form of a memorandum to the employee. A copy of the memorandum should be maintained in the supervisor's file for use when developing the performance appraisal. The reviewer also should receive a copy of the memorandum.
- E. Unsatisfactory performance or behavior should be promptly addressed by supervisors. Supervisors will meet privately with employees to encourage them to correct their performance or behavior. If the unsatisfactory performance or behavior is not corrected promptly, the supervisor will document the matter. The employee and reviewer will each receive a copy of the form. The supervisor also should keep a copy in their supervisor's file for use when completing the performance appraisal.
- F. If unexpected circumstances during a performance period significantly alter the core responsibilities, the performance plan should be modified. Changes during the

performance period should be noted in the appropriate place on the performance appraisal and initialed by all parties.

- G. If an employee moves to a different position during the performance period, the employee's supervisor should complete an interim performance appraisal and forward a copy to the employee's new supervisor to provide information that will assist with the preparation of the performance appraisal.
- H. If the employee's supervisor leaves his or her position during the performance period, the departing supervisor should complete an interim appraisal of the employee's performance.

VII. COMPLETING PERFORMANCE APPRAISALS

- A. The performance appraisal should reflect performance during the entire performance period.
- B. Appraisals shall be based on job related performance factors. Performance appraisals shall not be used to initiate personnel actions such as transfer, promotions or corrective disciplinary actions; however, appraisals may serve as supporting documentation for personnel actions.
- C. Supervisors should review all documentation from the performance period including notes, interim appraisal forms and any memoranda or other documentation related to employees' performance or behavior, when completing performance appraisals.
- D. Employees will complete a self-assessment of his or her job performance during the performance period for their supervisor to consider, along with other documentation, when completing the performance appraisal.
- E. When conducting the performance appraisal, it is important to:
 - 1. Be prepared – know objectives and goals of the meeting
 - 2. Choose a quiet, private spot with as few interruptions as possible
 - 3. Create a positive environment and help the employee feel at ease
 - 4. Give balanced feedback, both positive and negative, but start with the positive (When discussing areas for improvement, discuss methods and objectives for improving)
 - 5. Performance appraisals should be a reflection of ongoing discussions throughout the period, and the information should not be a surprise to the employee.
 - 6. Focus on the job, not the person
 - 7. Ask questions and allow the employee to provide feedback
 - 8. Discuss professional development as applicable
 - 9. Summarize and review the important points of the discussion
 - 10. Restate any action steps that have been recommended and provide a time frame for completion
 - 11. Make sure the employee reviews the appraisal and is given time to provide comments
 - 12. Have the employee sign it to acknowledge that he or she has read it (does not signify agreement with the content but is still valid even if the employee does not sign)

13. Follow-up with the employee to see how plans are proceeding within the given timeframes
 14. Offer the employee assistance in achieving objectives and encourage discussion of successes and obstacles throughout the upcoming period (coaching)
- F. There are five levels for rating an employee's performance. When rating an employee, specific documentation and examples should be provided, particularly when a rating of far exceeds or far below normal are selected.
1. Far exceeds normal expectations (FENE):
 - a. Performance always exceeds normal job requirements in all areas. Shows exceptional commitment to the requirements of the position and tasks involved. Displays significant work effort above and beyond the responsibilities of the job.
 2. Exceeds normal expectations (ENE):
 - a. Performance usually exceeds job requirements in most areas.
 3. Achieves normal expectations (ANE):
 - a. Performance meets expectations. Employee does the job in all important areas and achieves normal job expectations.
 4. Below normal expectations (BNE):
 - a. Performance was below job requirements in one or more important areas of the position and immediate improvement will be required.
 5. Far below normal expectations (FBNE):
 - a. Performance is significantly below requirements of the job in several major areas. Reassignment or termination should be considered.
- G. Each level has a ten (10) percent differential and numerical rankings overlap from the low end of one category to the high end of another category for flexibility in rating and employee development.

	10	20	30	40	50	60	70
FENE	9-10	18-20	27-30	36-40	45-50	54-60	63-70
ENE	8-9	16-18	24-27	32-36	40-45	48-54	56-63
ANE	7-8	14-16	21-24	28-32	35-40	42-48	49-56
BNE	6-7	12-14	18-21	24-28	30-35	36-42	42-49
FBNE	Below 6	Below 12	Below 18	Below 24	Below 30	Below 36	Below 42

- H. The reviewer has final authority regarding the performance appraisal.
- I. Below normal expectation performers.
1. Employees who receive an overall performance rating of below normal expectations are not eligible to receive a step increase.

2. Supervisors should meet with an employee who receives a below normal expectations rating to develop a written performance improvement plan outlining steps that the employee and supervisor will take to support improved performance.
 3. Plans for improvement should include guidance from the supervisor, training or re-training.
 4. The supervisor should meet periodically with the employee over the course of the next performance period to assess progress and shall use interim performance appraisals to document the employee's progress.
- J. Far below normal job expectation performers.
1. Employees who receive an overall performance rating of far below normal job expectations are not eligible for any wage increase.
 2. The supervisor must develop a performance improvement plan and meet with the employee within ten (10) business days of the unsatisfactory appraisal.
 3. The employee must have their performance re-evaluated monthly after their unsatisfactory appraisal.
 4. If the employee receives a rating of normal or higher, the employee will continue in his or her position and the supervisor will prepare a performance improvement plan for the new performance period.
 5. The re-appraisal process does not prevent the supervisor from taking disciplinary action based on the employee's poor performance or unsatisfactory behavior as outlined in the disciplinary process.
 6. Employees are asked to sign the performance appraisals as acknowledgment that they received them, not necessarily that they agree with them. Sometimes, performance appraisals are revised after the conversation takes place. Additionally, if the staff member disagrees with the performance appraisal, she or he is able to write an addendum to be attached to the performance appraisal.
- K. An employee who disagrees with his or her performance appraisal should discuss the issue with his or her supervisor and, within ten (10) business days of having received the appraisal may request that it be reconsidered.
1. The supervisor may decline to reconsider the appraisal or may reconsider it and either affirm or revise the original appraisal. The action must be taken within ten (10) business days of the employee's request for reconsideration.
 2. If the issue cannot be resolved with the supervisor, the employee may, within ten (10) business days of receiving the supervisor's response, file a written appeal with the reviewer.

3. The reviewer will discuss the appeal with the employee and the supervisor. Within ten (10) business days of receiving the appeal, the reviewer must respond in writing to the employee. The response should indicate one of the following results:
 - a. Reviewer agrees with the supervisor's appraisal of the employee's performance; or
 - b. Supervisor will revise the appraisal or complete a new appraisal;
 - c. Reviewer's decision is final with regard to the performance appraisal; however, employees alleging policy violations have access to the state's grievance procedure.

- L. The Village will comply with any provisions of Collective Bargaining Agreements that may contradict this policy.