



CITY OF PITTSBURGH

**PERFORMANCE EVALUATION SYSTEM
FOR
NON-UNION EMPLOYEES**

ADMINISTRATIVE GUIDE

Effective 01/01/2010

CITY OF PITTSBURGH PERFORMANCE EVALUATION FOR NON-UNION EMPLOYEES – ADMINISTRATIVE GUIDE

Performance evaluation is the methodical and organized system for monitoring the results of work activities, collecting information and evaluating performance, and determining the achievement of goals. Properly using performance information can assist leaders in making staffing decisions, allocating resources and communicating whether department or organizational objectives have been met.

Formal performance evaluations (or evaluation meetings) are conducted for every non-bargaining unit employee at least once a year. However, if you supervise people you are continuously evaluating performance. Every time you observe the employee, give instructions, assign work, praise, or criticize, you are evaluating the employee's performance. You should also use these occasions as opportunities to provide informal counsel to the employee. Although these informal methods are important, they do not replace the benefits of the formal performance evaluation program.

This performance evaluation system was established to evaluate and develop the performance of the City of Pittsburgh's employees. The process includes performance plans, goal setting, performance evaluations, recognition and coaching.

Additional Benefits of a Performance Evaluation System:

- ❖ Improved staff performance
- ❖ Staff member focused on goal achievement/results
- ❖ Clarification of performance expectations
- ❖ Clear lines of communication between employee and supervisor
- ❖ Alignment of individual goals with those of the organization
- ❖ Recognition for accomplishments
- ❖ Motivation to excel in performance
- ❖ Development and growth of employee
- ❖ Enhanced organizational performance
- ❖ Increased accountability among employees

One of the most critical issues for supervisors is to provide meaningful and timely job performance feedback to all employees. A mutually agreed upon understanding between the employee and supervisor as to what is acceptable job performance is essential for a successful working relationship.

This **Performance Evaluation Administrative Guide** will assist supervisors in answering the urgent questions on the minds of all employees, "What should I be working on?" "How am I doing?" "How can I improve?" The performance appraisal should be the basis for a meaningful two-way discussion with the employee to summarize discussion that has occurred during the year.

Performance evaluations for each calendar year must be conducted and the completed forms submitted to the Department of Personnel & Civil Service Commission (P&CSC) by the end of May.

All evaluators and reviewers should follow these performance evaluation guidelines.

OVERVIEW

One of the purposes of the performance evaluation system is to assist supervisors in evaluating the employee's overall performance during a specified review period. Each employee should be evaluated:

- In May of each calendar year
- When the employee's current position or job duties significantly change
- When the employee transfers to a different position within the City of Pittsburgh
- When the manager/supervisor (evaluator) changes

It is the manager's/supervisor's responsibility to ensure each employee has an accurate job description, and/or specific goals to be achieved over a specified time.

The objectives of the performance evaluation system include:

- Involving the supervisor and employee in the process of reviewing responsibilities, achievements, strengths, and deficiencies.
- Assisting employees with necessary information to improve overall performance by providing meaningful, well thought out feedback on performance.
- Providing a framework for establishing and communicating future opportunities, responsibilities and performance expectations.
- Assisting employees with planning and implementing programs to meet improvement and/or career development needs.
- Providing a historical record of employee performance.
- Coaching the employee to enhance skills/knowledge.
- Assisting the City in achieving yearly goals.
- Focusing the organization and employees on continuous development.

PERFORMANCE EVALUATION GUIDELINES

The remainder of the Administrative Guide provides the guidelines designed to assist supervisors in evaluating, coaching and monitoring the performance of staff:

A GLOSSARY OF PERFORMANCE EVALUATION TERMS

- **Reviewer** - The Reviewer may be the Mayor, a "senior director" (e.g. Chief of Staff, Director of Operations), Department Director, Bureau Chief or Manager of an independent division. The Reviewer will review all completed and signed evaluations and then transmit them to the Department of Personnel and Civil Service Commission following the prescribed transmission process.
- **Evaluator** - The supervisory staff that is responsible for conducting performance evaluations on his/her employees. In most cases the employee's immediate supervisor is the evaluator. On occasion, the "reviewer" may be asked by the Director of Personnel and Civil Service Commission to be the evaluator.
- **Elements** – The twelve (12) global topic areas identified by the City of Pittsburgh, on which all employees will be evaluated.
- **Goals** – Specific measurable results to be achieved by an employee within a specified time frame.
- **Competencies** – Job specific skills that are required to perform the job.
- **Tasks** – Action steps taken to complete an assignment.
- **Coaching** – Regular communication with an employee to assist him/her with improving overall performance or effectiveness.
- **Feedback** – Positive or constructive communication about an employee's performance.
- **Plan for Improvement** – A documented time-sensitive plan to assist the individual with improving job performance.
- **Development plan/goals** – Specific assignments given to an employee to assist him/her in enhancing or developing new skills.

WHEN TO CONDUCT A PERFORMANCE EVALUATION

A performance evaluation should be conducted:

- After the first 60 days as a new City of Pittsburgh employee.
- After the first 90 days of the employee's transfer to a new position (whether by promotion, demotion or lateral transfer).
- Within 30 days of the evaluator's transfer if it has been more than 90 days since the previous evaluations.

COMPLETING THE PERFORMANCE EVALUATION FORM AND CONDUCTING THE PERFORMANCE EVALUATION DISCUSSION WITH THE EMPLOYEE

1. Performance Ratings/Definitions used on all of the 12 element areas:

4 – Exceeds Expectations

Level and quality of output consistently exceeds (above and beyond) acceptable standards and expectations

Performance of the activities and requirements within the specific evaluation element consistently exceeded the acceptable level of satisfaction within the review period being evaluated. Employee demonstrates an unusually high level of expertise, clearly and consistently performs at an exceptional level, has excelled in the functions of the review category, and has made a significant impact with their work. Employee has met and exceeded individual goals and has contributed significantly to the accomplishments of the organization. The performance always exceeds the organization's / department's standards of acceptability.

3 – Achieves Expectations

Level and quality of output meets acceptable standards and expectations

Performance of the activities and requirements within the specific evaluation element consistently met the acceptable level of satisfaction within the review period being evaluated. Employee demonstrates significant knowledge and/or skill within the review category and performance often achieves and sometimes exceeds the organization's and/or department's standards of performance. Employee is consistent in achieving most Individual goals and completing job tasks within the review category as expected, and sometimes exceeds the standard level of performance.

2 – Marginally Achieves Expectations

Level and quality of output does not fully meet acceptable standards and expectations and some improvement is needed

Performance of the activities and requirements within the specific evaluation element frequently has not met the acceptable level of satisfaction within the review period being evaluated. The performance has merely achieved the organization's and/or departments standards and requirements of acceptability for the performance category. Employee is inconsistent in achieving individual goals and demonstrating knowledge and skill for specific requirements. Employee is often not meeting individual goals. Improvement in accordance with the enclosed Plan for Improvement within the proceeding review period is required. Further Ratings of "1", "2", and/or failure to improve in accordance with the enclosed Plan for Improvement will be cause to enact disciplinary action in accordance with the City of Pittsburgh's Guidelines for Employee Disciplinary Action.

1 – Does Not Achieve Expectations

Level and quality of output does not meet standards and expectations and is not acceptable. Improvement is needed

Performance of the activities and requirements within the specific evaluation element has consistently failed to meet the minimum level of satisfaction within the review period being evaluated. The performance fails to meet or achieve the organization's and/or department's standards of acceptable performance for the category. Employee consistently fails to demonstrate an adequate level of skill and is not meeting individual goals. Performance is below expectations. Improvement in accordance with the enclosed Plan for Improvement within the proceeding review period is required. Further Ratings of "1" and/or failure to improve in accordance with the enclosed Plan for Improvement will be cause to enact disciplinary action in accordance with the City of Pittsburgh's Guidelines for Employee Disciplinary Action.

- 2. Assessing Performance for the Rating Period:**
 - Refer to the manner in which the employee was observed demonstrating the competencies as outlined on the employee's job description.
 - Refer to notes in files regarding employee's performance (All disciplinary documentation, feedback notes, etc.).
 - Performance assessment techniques most frequently used include direct observation and/or work outcomes.
 - Refer to goal, project or task achievement.
 - Review the previous performance evaluation documents to see what was reviewed and discussed, the goals established and the Plans for Improvement.
- 3. Establishing Future Goals: (See page 5)**
 - Any rating of less than a "4" must have at least one associated goal to assist the employee to improve to the next level.
 - Identify specific results/outcomes for the employee to focus on for the up-coming year.
 - Ensure that goals are tied to the element areas.
 - Review results/outcomes and expectations with the employee.
- 4. Guidelines for Determining Performance Evaluation Rating: (See page 6)**
 - For each of the 12 elements select the appropriate rating based on the employee's performance.
 - Calculate the total score (sum of the 12 ratings, or 11 if the Leadership element is not applicable), the average rating and the overall rating (rounded).
- 5. Develop Plans for Improvement: (See page 7)**
 - Required for each element rating of "2" or "1" received.
 - The Plans for Improvement may be written prior to the discussion/meeting or with the employee at the meeting.
- 6. Conducting the Performance Evaluation Discussion/Meeting with the Employee: (See page 7)**
 - Discussing the performance evaluation form and performance review with the employee should truly be a discussion process.
- 7. Evaluator's Comments:**
 - Opportunity for the evaluator to provide additional comments and an overall perspective on performance.
 - Add special circumstances or situations that occurred during the evaluation period relative to the overall review or rating.
 - Keep the Evaluator Comments section brief, just the overall rating and one or two summarizing sentences.
- 8. Employee Comments:**
 - Opportunity for the employee to provide written feedback regarding performance evaluation (additional sheets may be attached if more space is needed).
- 9. Signature Section:**
 - Signatures and dates are required for the evaluator, employee and reviewer for each evaluation.
 - The employee does not have to sign the evaluation and make comments during the evaluation session, but may take the evaluation and return it signed by an agreed upon date.
- 10. Reviewer's Comments:**
 - Opportunity for the reviewer to provide additional comments and an overall perspective on performance before the original evaluation form is transmitted to the Department of Personnel and Civil Service Commission.
- 11. Processing of Completed Performance Evaluation Forms**
 - The reviewer, evaluator and the employee keep a copy of the signed form before the reviewer transmits the original form to the Department of Personnel and Civil Service Commission for the employee's personnel file.

HOW TO WRITE GOALS

Suggestions:

- When determining goals, avoid the temptation to develop a task list.
- Focus on what needs to be accomplished -- the desired outcome.
- Goals should be specific, achievable, measurable and related to the employee's job.
- Goals should be written in a positive manner (such as Improve...or Increase....) rather than negative.
- Test the goals to ensure they do not describe responsibilities which are beyond the employee's authority, outcomes which cannot be observed or measured until after the review period, or tasks which are impossible for an employee to do because of the lack of skills, knowledge, resources or tools.
- Allow employees to negotiate due dates when it is appropriate, but make them accountable for negotiating the change.
- Add or assign goals when appropriate.
- Agree on outcomes and measures.

When developing goals consider:

Performance needs: What must be done? What needs to be achieved?
Make them observable and tangible.

Standards: Quantity, how many (much)?
Quality, how well?
Timeliness, when? How long?
Cost/resource – with what resources?

Benefits: Why?

Examples of City of Pittsburgh goals:

- Develop a strategy by 9/01/08 to enable the City to increase diversity recruitment by 10% for protected class groups.
- Develop and implement a training plan that will ensure that employees are provided with customer service training by 12/31/2010. The plan should include request for proposal information, budget expectations, a description of the training models, participation expectations and how training will be measured.
- Improve the accuracy of claims processed by reducing average number of errors from 10% to 7% by the end of this review period.
- Write press releases for the five new programs being developed this year and ensure they are in the Mayors' hands no later than two weeks before program release dates.
- Decrease the time for answering customer complaints from 5 workdays to 2 days.
- During this review period, complete at least half the network programming needed for the new information system that will be released and implemented next year.

CALCULATE THE OVERALL RATING OBTAINED BASED ON THE RATINGS FOR THE 12 ELEMENTS.

You will need a calculator to calculate the overall rating for the employee. A Worksheet page for calculating the ratings is available in the **City of Pittsburgh Performance Evaluation Rating Form for Non-Union Employees**. Fill in the Rating column using the numbers you assigned to each of the 12 elements. Add the numerical rating for each of the 12 elements and then divide the total by 12 to calculate the average. All decimals must be rounded to the nearest tenth.

For example:

1. Work Quality	4
2. Initiative/Problem Solving/Decision Making	2
3. Attendance and Punctuality	3
4. Time and Resources Management	3
5. Customer Focus	4
6. Accountability/work Habits	3
7. Professionalism	4
8. Communication Skills	2
9. Teamwork/Interpersonal Skills	2
10. Job Knowledge/Comprehension	4
11. Safety and Compliance	4
12. Leadership Skills	2
TOTAL	37
AVERAGE = TOTAL ÷ 12	3.0833
OVERALL RATING = AVERAGE ROUNDED TO NEAREST TENTH	3.1

Record the Overall Rating in the designated space on the Rating Form cover page.

The Leadership Skills element may not be applicable to certain positions. For these positions, you will calculate the average by dividing by 11.

For example:

1. Work Quality	4
2. Initiative/Problem Solving/Decision Making	2
3. Attendance and Punctuality	3
4. Time and Resources Management	3
5. Customer Focus	4
6. Accountability/work Habits	3
7. Professionalism	4
8. Communication Skills	2
9. Teamwork/Interpersonal Skills	2
10. Job Knowledge/Comprehension	4
11. Safety and Compliance	4
12. Leadership Skills	N/A
TOTAL	35
AVERAGE = TOTAL ÷ 11	2.9166
OVERALL RATING = AVERAGE ROUNDED TO NEAREST TENTH	2.9

NOTE: The overall rating is the average of the employee’s performance across all elements.

HOW TO CONDUCT A PERFORMANCE EVALUATION DISCUSSION/MEETING

1. When possible, the evaluator should schedule the performance evaluation review session several days in advance. A specific location, which assures privacy without interruption, should be secured.
2. At the start of the meeting, give the employee a copy of the completed Performance Evaluation Form for review.
3. Conduct the evaluation meeting/discussion:
 - Explain the purpose
 - Encourage response from the employee
 - Mutually review performance expectations
 - Discuss your ratings using specific examples
 - Recognize areas of achievement and identify opportunities for improvement
 - Review previously established goals, allowing the employee an opportunity to share his/her achievements
 - Explore career progress and determine developmental needs
 - Discuss performance goals for the next review period
 - Develop the Plans for Improvements
4. During the discussion/meeting use proper listening skills such as restating, giving positive reinforcement, accentuating positives, and acknowledging the employee's feelings. Ensure the discussion is an open dialogue by asking open-ended and closed-ended questions appropriately, confirming questions, offering multiple choices and using contrasts and comparisons to help clarify a person's thinking.
5. During the discussion/meeting be careful in dealing with emotions (both yours and the employee's).
6. During the discussion/meeting recognize and deal with any resistance from the employee. Common types of resistance are Over Agreeable, Non-Participation, Disagreement, Blaming and Sidetracking.
7. Develop the Plan for Improvement for any rating of "2", or "1".
 - The Plans for Improvement **must specify** what needs to be done to achieve the standards, the timeframe for improvement, and the consequences for not improving (e.g., *Failure to improve as required may result in further action up to and including termination of employment.*).
 - The best Plans for Improvement are written together by the employee and manager. By participating fully, the employee will contribute more and be more committed to improve.
 - If an employee refuses to participate in developing plans, and the review included references to less than satisfactory performance, you may need to write this section yourself and indicate the employee's explanation for not participating.
 - Plans for Improvements should be:
 - A joint effort between the employee and manager.
 - Written during the performance evaluation discussion or prior to the discussion.
 - Plans for Improvement may address:
 - Improvements that must be made due to performance weaknesses.
 - Improvements that could be made to raise performance.
 - Skills needed for new responsibilities.
8. After the review, encourage the employee to make written comments and obtain the employee's signature. If the employee refuses to sign the form, ask a third party to witness that fact and document the situation on the evaluation form.
9. Both the manager and the employee should keep copies of the evaluation. The original performance evaluation should be forwarded by the evaluator to the reviewer for comments and signature.
10. The reviewer should transmit the original forms to the P&CSC by the end of May.

OTHER CONSIDERATIONS

Liability

There have been occasional suits charging defamation or libel because of the contents and/or sharing of performance evaluations. Take the following precautions to reduce the risk of defamation charges.

- Limit access to evaluation forms to only those people with a legitimate business need. This normally would include the employee's immediate supervisor (usually the evaluator), the successive management above the supervisor, and for monitoring purposes, appropriate Department of Personnel and Civil Service Commission staff.
- If your performance evaluation program includes group assessment by multiple managers you must have communicated this to employees. If so, there should not be an issue of business necessity. However, questions about legitimate business need can arise when supervisors share reviews outside the normal reporting lines or when others can access evaluations inappropriately.
- Make sure your statements in the evaluation are both:
 - a. Supportable with facts since the truth is not normally considered defamatory;
 - b. Clearly opinions, since opinions are also not usually considered defamatory. You may want to clarify with "in my opinion" or "it is my belief," particularly when making sensitive broad statements that could negatively impact the employee's position or future.

Examples:

POOR John is not ready for the promotion.

BETTER In my opinion, based on his performance over the past year, John is not ready for the promotion.

YOU COULD BE LIABLE. Don't think this is something that affects the City of Pittsburgh and not you personally. Courts have held that supervisors must personally pay damages in some cases of discrimination.

Employment-At-Will

You should not make statements in a performance review that might be construed as commitments or promises of continued employment.

You should use the following phrase when documenting requirements for improving unsatisfactory performance in the Plans for Improvement attachment:

Failure to improve as required may result in Disciplinary Action as described in the City of Pittsburgh Guidelines for Disciplinary Action.

Progressive Discipline

When used as one of the steps in the progressive discipline process the evaluation must include the following: a statement that the review is one of the steps in progressive discipline; a description of the performance that must be improved; the time period for improvement (this must be realistic and fair), and what will happen if there is no improvement.