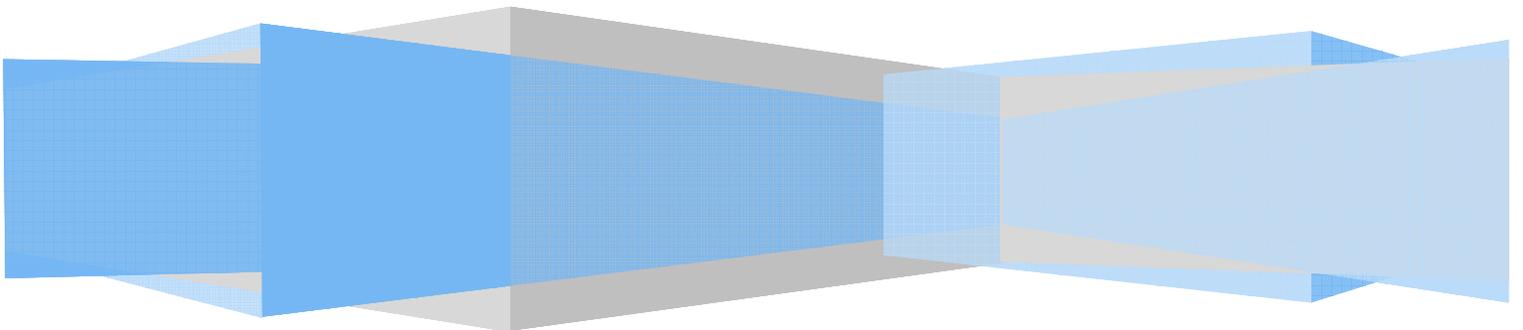




City of Pittsburgh

***Supervisor's Guide to the
Employee Performance
Evaluation Process***

July 2011



1. Purpose

The Performance Evaluation Program for the City of Pittsburg provides a uniform procedure where leaders can evaluate the work performance of employees under their supervision. The program serves as a vital tool to evaluate and improve performance, motivation, and communication.

2. Benefits of Performance Evaluation Reports

Performance evaluations are used for a variety of purposes in the City's personnel program. Benefits of performance evaluations include:

- Keeping employees informed of what is expected of them and how well they are performing.
- Recognizing accomplishments, contributions, and rewarding good work.
- Helping supervisors recognize and remedy weaknesses in employee performance.
- Identifying employees who should be given specific types of training.
- Providing a continuing record of employee performance history.
- Serves as a guide to promotions and other personnel actions.
- Determining whether an employee should be granted a merit increase.
- Checking on the reasonableness of established performance standards.
- Checking the accuracy of class specifications/job descriptions.
- Checking the effectiveness of recruitment and examination procedures.
- Clarifying the expected level of job performance and helps employees set and accomplish goals and career objectives.

3. Roles and Responsibilities

Human Resources:

- Notify departments of upcoming evaluations due dates.
- Provide Performance Evaluation forms, procedures, and guidance to supervisors.
- Review, log, and maintain employee performance evaluations.

Supervisors:

- Appropriately and timely evaluate assigned staff.
- Facilitate discussion about performance on a regular basis by providing evaluations of individual employees' performance.
- Provide employees the necessary resources and tools identified to facilitate performance growth.

Employees:

- Actively participate in the performance evaluation process.
- Seek regular feedback.
- Utilize resources and tools provided to achieve goals and objectives established.

4. Performance Evaluation Period

Performance evaluation reports should be prepared:

- Prior to the granting of a salary step increase.
- Annually for all regular employees.
- During the sixth (6th) month and also prior to the 12th (twelfth) month of employment for new and recently promoted employees.
- When a department head requests an evaluation report when he or she feels that an employee is doing either exceptional or substandard work.

Following Appointment and/or Promotion (Personnel Rule 13)

6 Months or 12 Months

- Performance Evaluation
- Salary Increase Consideration

12 Months

- Probationary Period Ends (if applicable)
- Performance Evaluation

Every 12 Months Thereafter

- Performance Evaluation
- Salary Increase Consideration

5. Probationary Employees

The performance evaluation for new employees and employees who have been promoted should be completed during the sixth (6th) month of employment and also after the eleventh (11th) month, prior to the completion of the 12th month (or end of probationary period).

When evaluating a probationary employee, consider whether he or she should be granted regular status. The probationary period is a working test period that should be viewed as the final and most important stage in the selection process. The probation period is an extension of the examination. Supervisors should have complete confidence that the employee has been observed and communicated with and that he or she fully meets or exceeds the City's performance standards in every factor if the employee is to be recommended for regular status. Probationary periods are for new employees as well as employees who have been promoted. Both should be given careful consideration.

Supervisors should also keep in mind that probationary employees may be rejected at any time by the appointing power without cause and without the right to appeal.¹ Should supervisors have any reservations as to the appropriateness of a probationary employee for the position, seriously consider the consequences of keeping an employee who does not fully meet the performance standards for the position.

¹ Releasing a probationary employee from employment can occur only after consultation with the Human Resources Department.

6. Performance Evaluation Forms

Performance evaluation reports shall be prepared using the forms provided by the Human Resources Department. The City has nine (9) performance evaluation forms. One for each of the following categories:

1. Officials/Administrators
2. Professionals
3. Technicians
4. Service Workers
5. Administrative Support
6. Protective Services
7. Police Officers/Sergeants
8. Skilled Craft
9. Para-Professionals

These performance evaluation forms can be obtained through the City's website under Human Resources forms, H:\Human Resources Forms, and the Human Resources Department.

The completed Performance Evaluation forms should be forwarded to the Human Resources Department within two (2) weeks following the end of the rating period. Any additional documents pertinent to the evaluation must also be forwarded to Human Resources to be placed in the employee's personnel file. Departments should also provide a copy to the employee and keep a copy in a secured and confidential department file.

7. Performance Evaluation Procedure

A. Self-Evaluation form

Prior to the performance evaluation meeting, the employee should complete the Self-Evaluation form. Once completed, the form is submitted to the supervisor at least one week prior to the scheduled performance evaluation meeting. The purpose of the Self-Evaluation is to provide employees with the opportunity to list goals, achievements, and areas for improvement during the rating period. The Self-Evaluation form helps open up the conversation between the employee and supervisor. In addition, employees are able to review or create goals, assess progress, and thoughtfully consider areas for job and career growth.

B. Review Performance

To ensure performance evaluations are accurate, effective, detailed and thorough, before you begin writing the performance evaluation:

- Review the Supervisor's Guide to Employee Performance Evaluation Process and applicable Performance Evaluation form.
- Consult any other supervisor that the employee had during the rating period.
- Review the established standards of performance for the position and compare them with the employee's performance.

- Review the employee's job description, past performance evaluations, and if applicable, performance goals.
- Review production records, observations, commendations, complaints, sick leave usage, employee counseling forms, and similar data concerning the employee's work record.
- Review the employee's performance throughout the entire period, not merely recent or outstanding examples of good or bad production.

C. Steps in the Evaluation Process

The Performance Factors used in the evaluation forms lists dimensions required for job success. Each Performance Factor is followed by a definition then the Areas (or key actions) are listed in the boxes.

1. Rate the employee on each area of the performance factor.

- a. Read the definition of each Performance Factor and its areas. The areas describe activities or action the employee needs to demonstrate.
- b. Complete your rating of the employee on one Performance Factor before considering the next factor.
- c. In each rating box, indicate one of the following competency ratings (2, 3, or 4):

4 – Exceeds Expectations: This rating may be given to the employee whose performance **EXCEEDS** the standard.

3 – Meets Expectations: This rating may be given to the employee whose performance **MEETS** the standard. Many people mistakenly think of a “3” rating as an indication of “average”. **A “3” rating is considered Acceptable and is the standard for successful job performance.**

2 – Does Not Fully Meet Expectations: This rating may be giving to the employee whose performance **DOES NOT MEET** the standard.

2. Comments section:

In this section of the performance evaluation, supervisors should include statements that support the ratings given. Be specific and detailed by providing examples based on employee's performance and behavior. Ensure that comments are job-related. The narrative is important in that it clearly explains the ratings for the purpose of future reference. For example, if Job Knowledge or Applied Learning is a performance factor and you rated the employee a 2, you may want to add an example such as:

Jenny's grasp of field work is excellent. However, she needs to improve her data entry skills. She was provided one-on-one training, as well as department training on AnimalTrax System. She needs to continue working on learning this system.

3. Other Accomplishments and Comments Section:

In this section, the supervisor may include:

- Important results and accomplishments achieved during the rating period
- Skills and abilities the employee has above and beyond requirements of present assignment
- Any strengths or weaknesses in the employee's performance
- Plans for improving performance which has been discussed with the employee

4. Other Performance Factors (If Applicable):

Part 4 of the performance evaluation is optional. The form contains general performance factors. If any are applicable, check the factors which require improvement by the employee being evaluated and discuss the improvement with the employee, then follow up during the next performance evaluation.

5. Determine the Overall Rating:

- Review the factors on the form and decide which factors are more important than others to the work of the employee.
- Make your judgment of the employee's total work performance for the entire period in accordance with the following competency rating standards:

4 – Exceeds Expectations: This rating may be given to the employee whose performance **exceeds** the standard.

3 – Meets Expectations: This rating may be given to the employee whose performance **meets** the standard. Many people mistakenly think of a "3" rating as an indication of "average". **A "3" rating is considered Meets and is the standard for successful job performance.**

2 – Does Not Fully Meet Expectations: This rating may be giving to the employee whose performance **DOES NOT MEET** the standard.

Select an Overall Rating for the employee's performance during the rating period. Check your rating on the cover page of the Performance Evaluation form.

8. Discuss the Report with the Employee

Honesty is the key to making a performance evaluation a valuable tool for all involved. It is important that you present an accurate analysis of an employee's performance. Plan and practice what you need to communicate. Anticipate objections, concerns, and possible excuses. Considerations to be made when conducting a performance evaluation:

- Be prepared- know the objective and goals of the meeting.
- Choose a quiet, private spot with as few interruptions as possible.
- Create a positive environment and help the employee feel at ease.
- Provide honest and constructive feedback.
- Ask the employee to share his or her comments relating to the self-evaluation.
- Emphasize his or her good points, mentioning specific examples.
- Review with the employee the performance standards of his or her position.
- Discuss what improvements are needed in his or her work, and how they can best be made.
- Focus on the job – not the person.
- Acknowledge different perspectives and support the employee's comments and feelings as much as possible.
- Give him or her opportunity to discuss or protest (i.e. challenge your thinking) ratings.
- If protests are valid, go over the report again.
- Encourage the employee to come to you with any questions, ideas, or difficulties.
- Conclude on a positive note.
- Ask the employee to sign the form; his or her signature merely indicates that the ratings were discussed with him or her, and does not mean that he or she necessarily agrees with the rating.

1. The employee then has an opportunity to make any comments on the evaluation form and signs.
2. The supervisor and department head must sign the evaluation as well.
3. A copy should be kept the department's file.
4. A copy of the evaluation should be given to the employee.
5. The original is forwarded to the Human Resources Department to be processed and filed in the employee's personnel file

COMMONLY HEARD PERFORMANCE EVALUATION DO'S AND DON'TS

DO	DON'T
DO welcome the opportunity to conduct performance evaluations. Most employees appreciate the feedback as it promotes open communication. It allows individuals to set goals.	DON'T fear the performance evaluation process. Follow the guide or call the Human Resources Department for assistance (ext 4878) if you expect to encounter an unwelcome situation.
DO complete all evaluations by the due date.	DON'T procrastinate months later to complete the evaluation. Employees may have the perception that you don't care to provide feedback.
DO listen to the employee's opinion and consider modifying your comments to reach a mutual agreement.	DON'T be close-minded as it could damage the communication process and the employee may not feel comfortable discussing their concerns with you.
DO document and record deficiencies in the performance evaluation.	DON'T avoid "sensitive" areas because you don't want to hurt the employee's feelings. If negative behavior continues and the performance evaluation only contains positive information, it may be difficult to take further disciplinary action.
DO discuss the performance evaluation with the employee. This is the perfect opportunity to provide feedback.	DON'T just ask the employee to read and sign the evaluation.
DO address issues of concern as they occur to provide constructive feedback on an on-going basis.	DON'T wait until the performance evaluation to address deficiencies. Information contained in the evaluation should not come as a surprise to the employee.