

**CITY OF WESTFIELD, INDIANA  
PERFORMANCE APPRAISAL GUIDELINES  
FOR FULL-TIME CIVILIAN EMPLOYEES**



## **INTRODUCTION**

### **1. Purpose and Scope**

The Performance Appraisal Guidelines set forth the policies and procedures necessary to establish and administer the City of Westfield performance appraisal process for full-time civilian employees. This document *does not* apply to sworn police officers or firefighters, or to part-time, seasonal and temporary employees.

### **2. Goals**

The City's ability to provide quality services to residents and visitors is closely tied to the performance of its employees. To measure and manage performance in order to achieve optimal outcomes, the City is implementing a written performance appraisal system in 2015.

The goals of performance appraisals under this system are to:

- Create an ongoing dialogue between supervisors and employees regarding the City's expectations and the employee's progress in meeting those expectations;
- Document performance based on assigned job duties and established performance goals;
- Create a consistent and permanent record of an employee's performance;
- Identify opportunities for continuing training and education to enhance the skills required by the employee's position, or necessary for advancement;
- Establish measurable performance goals for the upcoming year;
- Identify obstacles that prevent the employee from performing at optimum levels;
- Develop plans to improve performance that does not meet expectations;
- Enable management to make informed decisions regarding an employee's job assignments and/or continued employment with the City; and
- Establish eligibility for annual salary increases.

### **3. Roles and Responsibilities**

The Human Resources Manager will oversee the performance appraisal process, develop or amend policies and procedures as needed, ensure supervisors are properly trained to evaluate employees and establish annual deadlines.

The Department of Human Resources will collect and maintain all performance appraisals and analyze data on a supervisory, department and City-wide level.

Department Directors will ensure performance appraisals are completed in a timely manner for their departments. All performance appraisals must be reviewed and signed by the Department Director before being submitted to Human Resources.

Supervisors with direct and/or indirect oversight will evaluate subordinate employees. **This is the most critical element of the process.** In order to protect the integrity of the entire process, supervisors are required to be trained in the performance appraisal process. Their work will be reviewed by the Department Director and by the Director of Human Resources.

Employees will be required to complete a self-appraisal form and to engage with their supervisor during the performance appraisal interview. Employees are not asked or expected to evaluate their supervisors, although relevant comments made in the course of the performance appraisal process may be used in their supervisor's own performance appraisal.

## **THE APPRAISAL PROCESS**

### **4. Performance Appraisal Schedule**

The performance appraisal process has two components to be completed annually: an employee self-assessment and a supervisor appraisal. A Performance Improvement Plan will also be required in some cases. Every employee hired before July 1, 2014, will participate in the 2015 performance appraisal process. The 2015 schedule is outlined below.

- a) Supervisor provides employee with self-assessment form no earlier than September 3, 2015, and no later than October 17, 2015, and sets date and time for performance appraisal meeting (employee must have at least five (5) calendar days to complete self-assessment form).
- b) Employee completes self-assessment form and returns to supervisor no less than two (2) calendar days before performance appraisal interview.
- c) Supervisor completes written performance appraisal form, excluding achievements and goals.
- d) Supervisor(s) meets individually with employee to review employee's self-assessment and to discuss supervisor's performance appraisal, no later than October 24, 2015. Achievements and goals are discussed and added at this meeting. Employee signs completed form and receives copy.
- e) Performance appraisal form is submitted to Department Director for review and signature. Original signed form and employee self-assessment are sent to Human Resources no later than October 31, 2015. Department keeps a copy.
- f) Employee has ten (10) calendar days following the performance appraisal interview to append no more than one (1) page of written comments to the evaluation, with original to Human Resources and copy to Department Director.
- g) Second appraisal interview and Performance Improvement Plan, when required, are completed and submitted to Department Director for review and signature no later than November 29, 2015. Original is retained by department with a copy to employee and Human Resources.
- h) Three-month re-appraisal based on Performance Improvement Plan is completed and submitted to Department Director for review and signature no later than February 28, 2016. Original signed form is sent to Human Resources no later than March 7, 2016. Department and employee each get a copy.

## **5. Employee Self-Assessment**

Employees are expected to honestly assess their strengths and weaknesses and to develop work-related goals for the following year. Employees may also identify desired training and/or career development to help enhance skills for their positions or to prepare them for advancement. Training opportunities are provided at the sole discretion of the department.

## **6. Supervisor's Performance Appraisal**

The performance appraisal consists of the following sections:

- Personal/Work Attributes
- Areas for Development
- Achievements and Goals (to be completed jointly by supervisor and employee)
- Other Comments (supervisor and/or employee)
- Acknowledgements (supervisor, employee and director)

Supervisors will evaluate their subordinate employees' work performance for the entire 12-month period preceding the interview. Since the initial performance appraisal will take place in 2015, supervisors may go back further than 12 months to establish a pattern of behavior.

The performance appraisal will be based on a standard set of expectations. Although job responsibilities vary from position to position, success in any position depends on a common set of attributes which includes adhering to the City's Goals of Employee Engagement, Enhanced Infrastructure, Safe City, Fiscal Responsibility and Excellence in Customer Relations.

## **7. Performance Ratings**

The appraisal structure for personal/work attributes utilizes a 4-tier rating system:

- Meets Expectations
- Exceeds Expectations
- Needs Improvement
- Unacceptable

"Meets Expectations" is an entirely positive rating. This indicates the employee is meeting all job requirements in the area being evaluated, performs consistently and dependably in this regard, and achieves fully satisfactory results. It is expected that most employees will be given this rating level.

To receive an "Exceeds Expectations" rating, the employee must significantly and consistently perform at levels above expectations. An employee in this category will regularly exceed job requirements in the area being evaluated—not just once in a while—and achieve correspondingly superior results. This rating will be given sparingly.

For underperforming employees, two ratings are available. "Needs Improvement" is for the employee whose performance is somewhat deficient in the area being evaluated. This employee needs to make some improvements to meet minimum job requirements. An employee who receives three (3) or more "Needs Improvement" ratings will be required to develop a Performance Improvement Plan with his supervisor and will be re-evaluated within 3 months.

The "Unacceptable" rating will be used for an employee whose performance is unsatisfactory in the area being evaluated, and from whom substantial and immediate improvement is necessary. An employee receiving one (1) or more "Unacceptable" ratings will be required to develop a Performance Improvement Plan with his supervisor and will be re-evaluated within 3 months.

Every rating on the performance appraisal except "Meets Expectations" must be supported with a concise but descriptive narrative. Performance ratings should be based primarily on the supervisor's direct observation or knowledge of the employee's work, although they may also incorporate verifiable comments from other members of the management team, coworkers or customers when available and/or appropriate.

## **8. Appraisal Interview**

Upon completion of the written performance appraisal (and any management approvals required by the department), the supervisor will meet with the employee to review and discuss the employee's self-assessment and the supervisor's written performance appraisal. This meeting serves as an opportunity for a candid discussion between the supervisor and the employee, with a focus on how the employee can achieve maximum productivity.

Two (2) copies of the written performance appraisal should be brought to the evaluation meeting: one to be forwarded to Human Resources for the employee's personnel file and one to be given to the employee for his personal records. Both copies should be signed by the employee and the supervisor performing the appraisal. The City's copy should also be signed by the Department Director before being sent to Human Resources.

## **9. Employee Comments and Acknowledgement**

The employee will initial the bottom of each page of the performance appraisal to indicate the supervisor has discussed it with him. The employee will also be given the opportunity to respond in writing to his performance appraisal. Brief comments may be added at the time of the performance appraisal interview. Additional feedback, not to exceed one (1) typewritten or handwritten page, may be submitted within ten (10) days after the interview. These comments will be filed with the original performance appraisal form. After 10 days, no further comments will be accepted.

The employee will be expected to sign the performance appraisal, whether or not he agrees with the supervisor's evaluation. The employee's signature is merely an acknowledgement that the employee had an opportunity to provide input prior to the performance appraisal interview,

discuss the performance appraisal with his supervisor and provide verbal and written feedback regarding the content of the performance appraisal. An employee's refusal to sign the performance appraisal form will lead to disciplinary action.

## **BEYOND THE PERFORMANCE APPRAISAL**

### **10. Follow-Up**

Any employee who receives one or more "Unacceptable" ratings or three or more "Needs Improvement" ratings must meet again with his supervisor to develop a Performance Improvement Plan. The Performance Improvement Plan will outline the performance deficiencies, expectations and steps required for improvement.

Another performance appraisal meeting will be scheduled three (3) months out. If the employee has not made adequate progress, further action will be determined on a case-by-case basis. At minimum, the employee will be scheduled for another 3-month appraisal. For the most serious shortcomings (e.g., the employee has shown little or no improvement, the shortcomings are seriously disruptive to the operations of the department, the employee is resistant to changing his behavior), employment may be terminated.

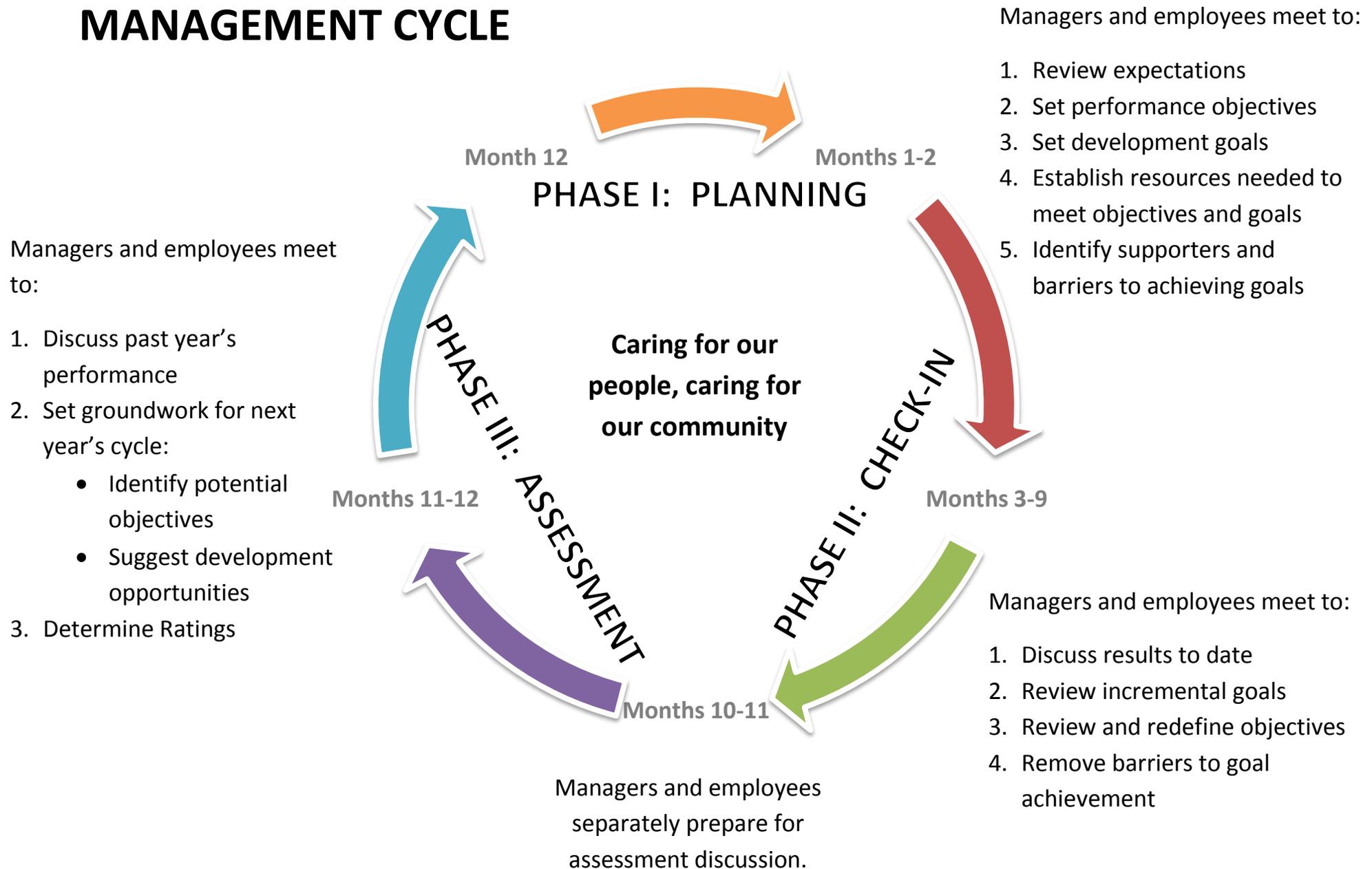
In addition to the Performance Improvement Plan, the management team may elect to pursue other disciplinary or remediation procedures.

Although 2014 performance appraisals will not be specifically tied to the level of pay increases in 2015, underperforming employees, as measured by the performance appraisal process, may be denied a cost-of-living adjustment (COLA) in 2014.

### **11. Ongoing Feedback**

The performance appraisal is a valuable mechanism to give an employee feedback on his work performance, but it should not be the only source of communication used by a supervisor. Supervisors should provide their employees open and honest feedback on a continual basis, and be receptive to comments from the employee. It is important to address issues in the appropriate manner when they occur as opposed to waiting for a scheduled performance appraisal and presenting a laundry list of issues. If the lines of communication are truly open between a supervisor and employee, there will be no real surprises at the time of the performance appraisal.

# THE PERFORMANCE MANAGEMENT CYCLE



# CITY OF WESTFIELD, INDIANA 2015 PERFORMANCE APPRAISAL



Employee Name: \_\_\_\_\_

Department: \_\_\_\_\_

Job Title: \_\_\_\_\_

Date: \_\_\_\_\_

Please check one: Regular Annual Evaluation  Other  \_\_\_\_\_

Supervisor(s) conducting performance appraisal interview: \_\_\_\_\_

\_\_\_\_\_

Attach additional pages if more space is needed for any portion of this performance appraisal.

## PERSONAL/WORK ATTRIBUTES

<b>JOB KNOWLEDGE</b>	<i>Expectations: Employee understands practical/technical job requirements and seeks to acquire and update relevant knowledge, skills and abilities. Employee knows when skills are adequate for tasks and when to ask for assistance.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
<i>Comments (required for anything other than Meets Expectations):</i>			
<b>PRODUCTIVITY</b>	<i>Expectations: Employee makes good use of time and produces results consistent with individual and/or group efforts. Employee prioritizes assignments, responds to requests in a timely manner and meets deadlines.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
<i>Comments (required for anything other than Meets Expectations):</i>			
<b>QUALITY OF WORK</b>	<i>Expectations: Employee's work is accurate, thorough and neat, and consistently meets department standards and/or government requirements. Employee sets high personal standards and acts quickly to identify and correct errors.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
<i>Comments (required for anything other than Meets Expectations):</i>			
<b>TEAMWORK</b>	<i>Expectations: Employee works cooperatively with others to complete projects and achieve goals. Employee fosters positive relationships with colleagues and demonstrates respect for their contributions.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
<i>Comments (required for anything other than Meets Expectations):</i>			
<b>COMMUNICATION</b>	<i>Expectations: Employee communicates effectively with others, verbally and/or in writing as necessary, to complete assigned tasks. Employee listens carefully and provides explanations or asks questions when necessary to ensure understanding.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
<i>Comments (required for anything other than Meets Expectations):</i>			

## PERSONAL/WORK ATTRIBUTES (continued)

<b>CUSTOMER SERVICE</b>	<i>Expectations: Employee is attentive to the needs of internal and external customers and seeks to provide superior service. Employee represents the City and/or Department in a courteous, positive and professional manner.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
<i>Comments (required for anything other than Meets Expectations):</i>			
<b>INITIATIVE</b>	<i>Expectations: Employee is self-motivated to remain active and productive without constant oversight. Employee is able to follow through with a plan of action to complete tasks or reach goals.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
<i>Comments (required for anything other than Meets Expectations):</i>			
<b>PROBLEM SOLVING</b>	<i>Expectations: Employee recognizes problems that arise in the course of performing work activities and develops effective solutions. Employee applies logic and innovation to work situations.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
<i>Comments (required for anything other than Meets Expectations):</i>			
<b>ADAPTABILITY</b>	<i>Expectations: Employee is an agent for positive change, responding to shifting requirements, goals and priorities without undue stress or disruption. Employee works effectively in a variety of environments and with a variety of people.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
<i>Comments (required for anything other than Meets Expectations):</i>			
<b>ATTITUDE</b>	<i>Expectations: Employee approaches people and job assignments with respect and a willingness to do whatever needs to be done. Employee takes personal pride in a job well done and makes a positive contribution to workplace morale.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
<i>Comments (required for anything other than Meets Expectations):</i>			

## PERSONAL/WORK ATTRIBUTES (continued)

<b>ATTENDANCE</b>	<i>Expectations: Employee reports to work as scheduled and minimizes tardiness and unplanned time off. Employee is fully attentive when on the job, and seeks to avoid unnecessary distractions.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
<i>Comments (required for anything other than Meets Expectations):</i>			
<b>COMPLIANCE</b>	<i>Expectations: Employee complies with City policies and procedures and with written and oral instructions provided by supervisory staff. Employee shows respect for management and department decisions.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
<i>Comments (required for anything other than Meets Expectations):</i>			
<b>LEADERSHIP</b> (supervisors only)	<i>Expectations: Employee identifies with and assumes the tasks and responsibilities associated with supervision. Employee is effective at mentoring and motivating subordinates to achieve maximum morale and productivity.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
<i>Comments (required for anything other than Meets Expectations):</i>			

## CITY GOALS

<b>EMPLOYEE ENGAGEMENT</b>	<i>Expectations: Employee takes an active role City activities or in assisting in the development and planning of our processes.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
Comments (required for anything other than Meets Expectations):			
<b>ENHANCED INFRASTRUCTURE</b>	<i>Expectations: Employee actively pursues the preservation of our City infrastructure and looks for ways to improve items or processes that will assist in the long term preservation of City infrastructure.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
Comments (required for anything other than Meets Expectations):			
<b>SAFE CITY</b>	<i>Expectations: Employee is aware of City safety protocols and helps to promote a safe live, work and play environment.</i>		
Meets Expectations <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
Comments (required for anything other than Meets Expectations):			
<b>FISCAL RESPONSIBILITY</b>	<i>Expectations: Employee recognizes opportunities of waste and does all within his/her power to provide solutions that stimulate and foster a culture of fiscal responsibility.</i>		
Meets Expectations	Exceeds Expectations	Needs Improvement	Unacceptable
Comments (required for anything other than Meets Expectations):			
<b>EXCELLENCE IN CUSTOMER RELATIONS</b>	<i>Expectations: Employee is aware of the need for maintaining good relations with residents, visitors, business owners and others. Employee promotes the City of Westfield.</i>		
Meets Expectations	Exceeds Expectations	Needs Improvement	Unacceptable
Comments (required for anything other than Meets Expectations):			

## AREAS FOR DEVELOPMENT

*Specific areas for improvement:*

*Recommendations for training or professional development:*

## ACHIEVEMENTS AND GOALS

*Notable achievements in past 12 months:*

*List two goals for next 12 months (goals should be specific, measureable and achievable):*

## OTHER COMMENTS

*Additional supervisor comments (optional):*

*Employee feedback (optional):*

# ACKNOWLEDGEMENTS

**Supervisor Acknowledgement:** I attest that I have discussed the contents of this performance appraisal with the employee, and addressed the employee's strengths, weaknesses, achievements and goals.

Next appraisal recommended: Annual  Three Months for Performance Improvement Plan

\_\_\_\_\_  
Supervisor Signature

\_\_\_\_\_  
Date

**Employee Acknowledgement:**

I attest that I have had an opportunity to:

- 1) Provide input regarding my performance prior to my performance appraisal, a copy of which is attached;
- 2) Discuss the contents of this performance appraisal with an immediate supervisor and/or member of my department's management staff; and
- 3) Provide verbal and written feedback regarding the content of the performance appraisal.  
(Employee may attach additional written response within 10 calendar days after the appraisal interview, not to exceed 1 page in length, which will be filed with the performance appraisal form.)

Signature does not necessarily indicate agreement with the contents of the performance appraisal, but acknowledges receipt of the performance appraisal.

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

**Management Acknowledgement:**

I attest that I have reviewed and approved this performance appraisal and all attachments thereto.

\_\_\_\_\_  
Department Director Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Director of Human Resources Signature

\_\_\_\_\_  
Date

**CITY OF WESTFIELD, INDIANA**  
**2015 EMPLOYEE SELF-ASSESSMENT**

Employee Name \_\_\_\_\_ Department: \_\_\_\_\_

You are scheduled for a performance appraisal interview with your supervisor (and/or another member of your department's management team) on or about \_\_\_\_\_.

In preparation for your interview, please respond to the following questions to the best of your ability. Return the completed form to your supervisor no later than \_\_\_\_\_. **Attach additional pages if you need more space to respond to any question below.**

1. From the following list, please consider the personal attributes you bring to the job. Put an "S" beside the three (3) attributes you consider your greatest strengths. Put a "W" beside the three (3) attributes you think you are weakest. A description of these attributes is attached for your reference. Do not consider the "Leadership" attribute unless you are a supervisor.

- |                             |  |
|-----------------------------|--|
| ___ <i>Job Knowledge</i>    | ___ <i>Problem Solving</i>               |
| ___ <i>Productivity</i>     | ___ <i>Adaptability</i>                  |
| ___ <i>Quality of Work</i>  | ___ <i>Attitude</i>                      |
| ___ <i>Teamwork</i>         | ___ <i>Attendance</i>                    |
| ___ <i>Communication</i>    | ___ <i>Compliance</i>                    |
| ___ <i>Customer Service</i> | ___ <i>Leadership</i> (supervisors only) |
| ___ <i>Initiative</i>       |  |

2. Do you feel that you are currently in the position that best suits your skills and talents?
3. What do you consider your major job accomplishments over the past year?
4. What would you like to achieve in your job over the next year?
5. Do you have the resources (equipment, time, training, instruction, teamwork, etc.) you need to do your job? If not, please describe the additional resources you need.
6. Do you think your job could be modified in any way to make you more efficient or effective?
7. Where do you want to be next year? 5 years from now? Other?

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

## DESCRIPTION OF ATTRIBUTES

Your supervisor will be rating you on each of these attributes, selecting from the following categories:  
Meets Expectations, Exceeds Expectations, Needs Improvement, Unacceptable

<b>JOB KNOWLEDGE</b>	You understand job requirements and seek to obtain knowledge, skills and abilities. You know when your skills are adequate for a task and when to ask for help.
<b>PRODUCTIVITY</b>	You make good use of time and produce results consistent with your efforts. You are able to prioritize tasks, respond to requests in a timely manner and meet deadlines.
<b>QUALITY OF WORK</b>	Your work is accurate, thorough and neat, and meets department and governmental standards. You set high standards for yourself and act quickly to identify and correct errors.
<b>TEAMWORK</b>	You cooperate and work well with others to complete projects and achieve goals. You maintain positive relationships with coworkers and respect their contributions to team efforts.
<b>COMMUNICATION</b>	You communicate well with others, both verbally and in writing, as needed. You are a good listener, able to ask questions and/or provide explanations to ensure understanding.
<b>CUSTOMER SERVICE</b>	You provide superior service to internal and external customers. You represent the City and/or your department in a courteous, positive and professional manner.
<b>INITIATIVE</b>	You are self-motivated to remain active without constant oversight. You can be relied upon to follow through with a plan of action in order to complete tasks and meet goals.
<b>PROBLEM SOLVING</b>	You recognize problems that arise in the course of your work activities and develop effective solutions. You apply logic and innovation to workplace situations.
<b>ADAPTABILITY</b>	You respond to shifting requirements, goals and priorities without undue stress or disruption. You can work effectively in a variety of environments and with a variety of people.
<b>ATTITUDE</b>	You display a willingness to do whatever needs to be done on job assignments. You take personal pride in your performance and make a positive contribution to workplace morale.
<b>ATTENDANCE</b>	You report to work as scheduled, with minimal tardiness and unplanned absences. You are fully attentive while at work and seek to avoid unnecessary distractions.
<b>COMPLIANCE</b>	You comply with City policies and procedures, and with written and oral instructions from your supervisors. You show respect for management and department decisions.
<b>LEADERSHIP (supervisors only)</b>	You identify and assume all responsibilities associated with supervision. You effectively mentor and motivate subordinates to achieve maximum morale and productivity.