

City Council Strategy Session

Meeting of February 27, 2013

Executive Summary: Council Appointee Evaluations

Issue

Should City Council implement a formalized annual evaluation process for the four Council appointed positions (City Manager, City Attorney, Presiding Judge, City Clerk)?

Background:

The Council appointees all work under employment contracts that stipulate satisfactory performance but do not reference any process for evaluation of performance.

Historically, the City Council has conducted annual review meetings with appointed employees, but those have rarely been documented in an employee's file. The Mayor has, in the past, advised Human Resources (usually by email) of any adjustments to compensation following annual performance reviews; however, those notifications did not include any other information.

In 2006, the City Council, through the City Manager, requested development of a formalized performance review process for employees in appointed positions. The process and related forms were developed by Human Resources and the Tempe Learning Center (Attachment A). It does not appear that this process was utilized as it was not finalized until mid-2007 and soon after the City Manager retired.

The most recent City Manager was evaluated by the City Council through formal processes in August 2009 and again in December 2010 that were facilitated by Ina Wintrich, Assistant Director of the Ramsey Executive Education Program at ASU, on a pro bono basis. Ms. Wintrich worked with Human Resources to draft questions and met with each member of the Council to receive feedback. The results were presented at a Council Executive Session to Council Members, and the information was shared with the City Manager at a subsequent Council Executive Session. The questions related to this process are Attachment B.

In 2012, the Presiding Judge underwent the required review process through the Judicial Advisory Board prior to her reappointment to a four year term. Other current and past Council appointees have participated in informal review discussions with Council in Executive Session prior to any salary increases, but the City does not have, and has not previously had, any consistent, formalized evaluation process in place for these employees.

A survey of other Valley Cities indicates that the majority do not have a consistent, formalized process in place for their City Council to evaluate appointees. The City of Glendale does have an annual evaluation process with an option for the appointed employee to utilize a contracted facilitator and with the evaluation occurring in Executive

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Session. The City of Surprise is currently working with an independent consultant to develop and facilitate an evaluation process. Other Cities utilize informal discussions as a means of performance review, usually on an annual basis and in Executive Session. As with Tempe, other Cities do have processes for review of judicial officers prior to their reappointment.

A meeting was held with the 4 Council appointees to solicit initial input on a possible formalized annual evaluation process. While none were opposed to development of a proposal, Judge Majestic noted that her position is somewhat different in that she is accountable to the State Court system and its requirements for judicial performance and also faces a review and evaluation when considered for reappointment. Andrew Ching has received feedback from Mayor and Council consistently during his tenure and felt that while informal, it was effective in maintaining expectations for performance. Both Charlie Meyer and Brigitta Kuiper noted that a more formalized evaluation process that included goal setting may add to the current informal feedback process.

Potential Solutions

Human Resources has developed a proposal for an evaluation process that allows for both feedback on performance and development and review of short and long term goals for Council appointees. This proposal was presented to the Finance and Effective Infrastructure Committee at their January 11th meeting. Please see Attachment C.

Potential Problems

The 4 appointed positions play very different roles and have different levels of interaction with the City Council. It may not work to develop a process that is too defined as it may not be effective for all four employees.

Guidance Needed

The 4 Council appointees have indicated that they are comfortable with a proposal that would address the different needs they each have based on their specific roles and relationships with the Mayor and Council. Do the Mayor and Council wish to implement the proposed Performance Planning Process for Council Appointees?

Sources

Meeting held on November 15th with Brenda Buren, HR Staff and the 4 Council appointees; Memo and attachments from October, 2006 proposal for an Executive Performance Evaluation; Communications regarding the scheduling and process for the 2009 and 2010 City Manager evaluations; Research conducted with 8 Valley Cities on their current processes for evaluation of Council appointees.

Memorandum
City of Tempe

Date: October 11, 2006
To: Valerie Hernandez, HR Department Manager
From: Gretchen Maynard, Tempe Learning Center
Subject: Sample Executive Performance Evaluation

APPROACH:

- ✓ To avoid subjective impressions based on “personality” versus job performance or comparisons to other employees or positions.
- ✓ To assure objectivity by rating core competencies and **standards** as identified in the job description.

SAMPLE PERFORMANCE MODEL:

The job description of “City Manager” held on-file in Human Resources was used as the sample job for this model.

NOTE: This model is generic and does not reflect current city manager competencies

Core Competencies:

Core competencies of performance were taken directly from the job description on-file and categorized as “technical” and “behavioral”:

The term “technical” defines the level of competence (expertise) in specific job duties

The term “behavioral” defines the manner in which specific job duties are accomplished

Evaluators:

The employee (city manager) uses the evaluation form to *self-evaluate* their performance

Raters (council members) use the evaluation form to evaluate employee performance

Evaluation Methods:

Quantitative:

The employee and rater(s) evaluate each competency and scores (rates) performance using three standards:

1) N = Needs Improvement: The employee does not perform at an acceptable level to meet the position standards.

NOTE: If the rater selects “needs improvement” they must justify their rating in the comments section.

2) S = Satisfactory: The employee consistently meets the position standards of performance.

3) E = Exceptional: The employee routinely exceeds the position standards of performance

NOTE: If the rater selects “exceptional” they must justify their rating in the comments section.

Qualitative:

Self-Evaluation:

The employee (in this case “city manager”) prepares a narrative identifying key accomplishments, areas of improvement (if applicable) and specific goals/expectations for the coming year. The narrative should address the following four groups:

1. Council Members
2. City Organization
3. Tempe Community
4. Intergovernmental Relationships

Council Narrative – Confidence Summary Statement

Each council member meets with the “objective third party” and provides their individual thoughts and perspectives on the employee’s overall performance. The independent third party summarizes individual council remarks into a composite picture that accurately represents a consensus view of the level of confidence held in the employee’s overall performance.

Objective Third Party

Because of the nature of the positions (reporting directly to council members) an independent third party (either internal or external) is chosen by council members to oversee the evaluation process. This person would:

1. Distribute the performance evaluation form to the employee for completion of their “self-evaluation”.
2. Distribute copies of the employee’s “self-evaluation” to council members for review.
3. Distribute performance evaluation form to council members for completion
4. Collect and compile council evaluations.
5. Interview and document individual council member’s perspectives on employee’s overall performance.
6. Prepare a composite “Confidence Summary Statement” that represents council consensus of overall performance.

Attachment A



City Manager Performance Review Questions
December, 2010

Facilitator: Ina Wintrich, Assistant Director, Bob Ramsey Executive Education Program at Arizona State University

PART ONE: 2010 PERFORMANCE REVIEW AND EVALUATION

1. In your opinion, what are the most critical challenge and opportunity issues the City of Tempe has faced during 2010?

Challenges

Opportunities

2. What was the City Manager's role in addressing those issues?

3. Are there specific leadership behaviors and management practices the City Manager exhibited in addressing those issues? Please identify.

4. Does the City Manager provide the pertinent and timely information you need, as a policymaker, to make informed decisions?

5. What processes/methods does the City Manager utilize to effectively communicate with Tempe policymakers?

6. Do you have any suggestions for improvement, in this area?

7. What do you consider the City Manager's strengths?

Attachment B

8. How would you rate the City Manager, in the following areas, with 5 being the most frequently exhibited and 1 being the least frequently exhibited?

Management skills	5	4	3	2	1
Focus	5	4	3	2	1
Organizational engagement	5	4	3	2	1
Problem/issue resolution	5	4	3	2	1
Opportunity identification	5	4	3	2	1
Implementation/operation	5	4	3	2	1
Results	5	4	3	2	1
Level of professionalism	5	4	3	2	1
Ethics/integrity/trust	5	4	3	2	1
Other					

Comments:

9. From your perspective, are there areas of performance enhancement upon which the City Manager should focus? Please list:

PART TWO: PERFORMANCE PLANNING FOR 2011

1. As a policymaker, what do you believe are the most critical issues impacting the short (12-24 months) and long term stability of Tempe?

2. How would you prioritize those issues?

3. As a policymaker, what process might be developed or utilized to forge agreement on the top 3 to 5 issues and related goals? How could the City Manager be of assistance, in this area?

4. In your opinion, what methods/processes should be used to provide appropriate direction to the City Manager regarding the implementation of these goals?

5. Please provide your 2011 performance expectations for the City Manager.

6. How should his performance be measured (input, output, outcome)?



PERFORMANCE EVALUATION Appointed Officers

Employee's Name:	Employee's Title:		
Date:	Years / Months in Current Position:		
EVALUATION CRITERIA AND FACTORS			
N = Needs Improvement Does not perform at an acceptable level to meet the position standards.	S = Satisfactory Consistently meets the position standards; performance is fully acceptable.	E = Exceptional Routinely exceeds the acceptable standards by demonstrating outstanding performance and knowledge.	
CORE COMPETENCIES			
N=Needs Improvement, S=Satisfactory, E=Exceptional	N	S	E
COMMUNICATION - ORAL: Makes clear and persuasive oral presentations. Listens and clarifies information for Mayor and Council. Face-to-face communication is direct, professional at all times. Non-verbal communication (such as steady eye contact and attentive posture) fosters open communication and exchange of ideas.			
COMMUNICATION - WRITTEN: Clearly articulates facts and ideas in writing. Produces grammatically correct written reports and presentations in a clear, concise, organized format.			
CONFLICT MANAGEMENT: Manages problems and resolves conflicts and disagreements in a positive, constructive manner to minimize negative impact.			
DELEGATING: Delegates responsibility and authority objectively and effectively. Identifies exact results expected. Trusts people to perform. Steps in decisively only when appropriate. Conducts debriefings when projects and assignments are complete.			
DIVERSITY MANAGEMENT: Equitably develops and retains a diverse and qualified workforce. Directs an inclusive workplace that maximizes the talents of each employee to achieve sound business results. Holds self and others accountable for achieving results that represent the principles of diversity.			
FINANCIAL MANAGEMENT: Understands the City's budgeting process. Prepares, administers, and manages budget responsibilities efficiently and within annual allocations. Seeks innovative ways to reduce reliance on general fund dollars including the use of technologies, where appropriate.			
HUMAN RESOURCES MANAGEMENT Evaluates current and future staffing needs based on the organization's strategic initiatives and budget considerations. Demonstrates to the Mayor and Council members, through regular reports and presentations, that staff is appropriately selected, developed, utilized, evaluated, and rewarded based on merit. Understands and utilizes employment and labor laws associated with managing within a unionized environment.			
CUSTOMER SERVICE: Understands his/her internal and external customers and proactively seeks continuous improvement. Follows through on customer inquiries, requests or complaints. Accountable for correcting customer service problems promptly and non-defensively. Aware of how changes to services and/or processes might impact customers or customers' needs, and seeks to reduce or eliminate negative results.			

Employee Name: _____ Period Covered: _____

CORE BEHAVIORS			
N=Needs Improvement, S=Satisfactory, E=Exceptional	N	S	E
<p>ACCOUNTABILITY: Accepts personal responsibility for the quality and significance of his/her work. Accepts that outcomes achieved are an end result of his/her personal decisions and actions. Acknowledges and corrects mistakes. Does not make excuses for errors or problems. Promotes the goals of the City and of all departments and divisions.</p>			
<p>GOAL ORIENTED: Sets precise goals on a regular basis and achieves them. Measures and reports his/her own performance and accomplishments in a timely manner. Asks the Mayor and Council members for input on performance and makes ongoing adjustments and efforts to improve. Does not accept or make excuses, does not try to justify mistakes. Gets the job done.</p>			
<p>INITIATIVE / SELF-MANAGEMENT: Deals effectively with pressure; maintains focus, intensity and remains optimistic and persistent, even under adversity. Positively accepts constructive feedback from Mayor, Council members and others. Approaches new situations with a "can-do" attitude. Assists the Mayor and Council members in maintaining a proactive position by offering honest and complete assessments of issues and a well-balanced view of potential problems before they occur. Pursues continual self-development. Effectively balances personal life and work.</p>			
<p>RESPECT: Maintains respectful and cooperative working relationship with the Mayor, Council members and staff. Demonstrates to the Mayor and Council members, through regular presentations and reports, that departmental and city-wide goals and priorities are being met with fairness and equity.</p>			
<p>INTEGRITY AND HONESTY: Demonstrates a sense of corporate responsibility and commitment to public service. Inspires mutual trust and confidence of Mayor and Council members. Behaves in a fair and ethical manner toward others and fosters superior ethical standards.</p>			
<p>LEADERSHIP: Positively influences people and events. Encourages, motivates, guides and empowers others to achieve results. Engages others in strategic thinking -- challenging them to take action and maintain accountability for the results they produce. Demonstrates to the Mayor and Council members, through regular presentations and written reports, that staff is being recognized and equitably rewarded for performance. Does whatever it takes to get the job done without compromising integrity and professionalism. Takes care of the group and its reputation. Filters priorities for the team to ensure staff is not overwhelmed and goals are met.</p>			

EMPLOYEE SELF-EVALUATION NARRATIVE:

Cite examples and/or comments on performance in support of core competencies and behaviors.

Include key strategic planning / goals to be met during next review cycle.

(Additional pages may be used)

Employee Name: _____ **Period Covered:** _____

OVERALL PERFORMANCE RATING

Considering all performance factors, criteria, employee’s self-evaluation narrative and strategic planning goals for the next review cycle, rate the employee’s overall performance.

N=Needs Improvement, S=Satisfactory, E=Exceptional

N	S	E
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Overall Performance Rating

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Comments: (Optional):

This assessment accurately represents a consensus view of the level of confidence held in this employee's overall performance:

Mayor’s Signature

Date

Vice Mayor’s Signature

Date

Council Member’s Signature

Date

Employee’s Signature

Date

This signature acknowledges that the employee has received this performance rating but not necessarily that the employee agrees with this rating.



**Proposed Performance Planning Process for Council Appointees
February 27, 2013 Council Strategy Session**

The Finance and Effective Infrastructure Council Committee in conjunction with the Human Resources Department has developed a recommendation for a performance planning process for Council appointees. It was stressed that this process should be consistent with the ePerformance process being used with other City employees. The key elements of the ePerformance process are:

- Accountability
- Proactive rather than reactive
- Performance planning
- Collaboration
- Transparency
- Measurable goals (X to Y by when)
- Two-way communication and feedback
- Alignment of employee's goals to the organization's mission
- Identification of employee's future development opportunities

Incorporating the above principles plus building upon Human Resources best practices and the experience of previous Council appointees' reviews, the following process is recommended:

Performance Planning Process for Council Appointees

1. The Council appointees will participate in the Performance Planning process annually and the process will be conducted for all appointees during the same time period each year.
2. The City Council will select a neutral facilitator to manage the process and the Human Resources Director will be the point of contact for the facilitator.
3. A Performance Planning questionnaire that will be utilized in the process to gather feedback from City Council will be drafted by the facilitator with the assistance of the HR Director as needed. The questionnaire will allow for feedback and review of the previous year's performance plan goals as well as providing input for the development of potential goals for the upcoming year. The Performance Planning questionnaire will be shared with City Council and the appointees once finalized.
4. Each Council Appointee will complete a written response to the Performance Planning questionnaire and submit it to the facilitator. The facilitator may share the information in the self-evaluations with Council members during one-on-one meetings.

Attachment C

5. The HR Director will facilitate the scheduling of individual, confidential one-on-one meetings between the facilitator and each member of City Council. At these meetings the facilitator will utilize the Performance Planning questionnaire and ask the Council member for their responses to the questions which they will have had an opportunity to review prior to the meeting. Council members will also be given the opportunity during the meeting to provide any additional information to the facilitator for inclusion in a Performance Planning summary report. These meetings may cover the Performance Planning process for one or more appointees.
6. The facilitator will write a Performance Planning summary report for each appointee that outlines Council's feedback in a manner that maintains the anonymity of the individual Council members.
7. The Performance Planning summary reports will be presented to City Council at an Executive Session by the facilitator.
8. Subsequently, the results of the performance planning process and the final summary report will be shared by the City Council with each Council Appointee at an Executive Session.