



# CITY OF CORPUS CHRISTI

## EMPLOYEE PERFORMANCE REVIEW

### PROCEDURAL GUIDELINES

#### INTRODUCTION

The City of Corpus Christi's Performance Management Process is designed to:

1. Communicate performance expectations and measure performance;
2. Document and recognize superior performance;
3. Continuously improve organizational performance to ensure that the City of Corpus Christi is the benchmark among Texas cities.

This procedure applies to all non-bargaining unit City employees.

To encourage exceptional performance of the City employees it is important for supervisors to:

1. Lead by example. Meet with direct reports regularly throughout the cycle, as outlined on page 3, to establish expectations, identify and provide training and support, evaluate progress and document results.
2. Ensure that managers and supervisors demonstrate and communicate this example throughout the organization.
3. Ensure that end of year ratings are well documented, consistent throughout the organization and submitted for all employees in a timely manner.

#### ANNUAL PERFORMANCE APPRAISAL CYCLE EXPLAINED

The process is based upon an annual cycle encompassing three stages in which:

##### STAGE ONE:

- Expectations are established and communicated at the beginning of the cycle or upon entry to the job;
- Training and support to facilitate achievement of performance expectations is identified and planned for;

##### STAGE TWO:

- At least quarterly interim reviews are held to review progress and make necessary revisions in expectations and/or plans for training and support;
- You can use this form: Employee Individual Development Quarterly Plan. Download at <http://learningcc.org/perform>

##### STAGE THREE:

- At the end of each performance year (January – December), meetings are held and formal performance reviews are completed. New performance expectations are to be established and communicated based on the appraisal of the past year and challenges for the upcoming year.
- The employee may complete a self-assessment form. Download at <http://learningcc.org/perform>
- The supervisor must complete an employee performance review form. Download at <http://learningcc.org/perform>

#### PERFORMANCE REVIEW FORMS

The forms are:

1. Employee Performance Review Form
2. Employee Individual Quarterly Development Plan
3. Employee Self Assessment Form

Performance management forms are available online at: <http://learningcc.org/perform>

## SAMPLE TIMELINE FOR PERFORMANCE MANAGEMENT

The rating cycle for performance management at the City of Corpus Christi will be January 1 – December 31 annually.

Please feel free to use the timeline below as a guide for your employee performance reviews.

DATE	TASK	STATUS
December 1 – 10	Supervisor sends employee a notification for submitting self-assessment form by December 31.	OPTIONAL
December 1 - 10	Supervisor schedules time for annual performance appraisal during the first week in January.	REQUIRED
January 1 - 5	Employee deadline to submit Self-Assessment form to supervisor for review.	OPTIONAL
January 5 - 15	Supervisor conducts employee annual performance review.	REQUIRED
January 16	Supervisor finalizes employee review form and provides form to employee for additional comments and signature.	REQUIRED
January 17-18	Employee reviews completed form, provides comments in Part VI and signs form. Employee returns form to Supervisor.	REQUIRED
January 19	Supervisor signs form and submits to Next Level Supervisor or Department Director.	REQUIRED
January 20 – 29	Next Level Supervisor or Department Director signs form and returns to Supervisor.	REQUIRED
January 29	Supervisor makes two copies of appraisal packet: one copy for employee and one for the supervisor's records. The packet includes, but is not limited to: <ul style="list-style-type: none"> <li><input type="checkbox"/> Employee Performance Review Form</li> <li><input type="checkbox"/> Employee Self Assessment Form (Optional)</li> </ul>	REQUIRED
January 30	Supervisor submits original forms in packet to Human Resources department for permanent record keeping.	REQUIRED
January 31	<b>Deadline for Submission of Annual Performance Review Forms to Human Resources Department, City Hall, 2<sup>nd</sup> Floor or <a href="mailto:learninginstitute@cctexas.com">learninginstitute@cctexas.com</a></b>	<b>REQUIRED!</b>

## PREPARING FOR SUCCESS IN EACH STAGE OF THE CYCLE

### STAGE ONE:

#### FIRST MEETING OF THE PERFORMANCE APPRAISAL YEAR (January, or first month of employee's hire date)

Objective is to establish and communicate expectations and to identify and plan for training and support needed to achieve them.

#### TO PREPARE FOR THIS MEETING:

- Review job challenges as revealed by assigned duties, business plan goals, audit reports, customer concerns, and broader organizational challenges;
- Develop clear examples of expectations for the employee for each of the Core Performance Expectations in the performance appraisal form that is appropriate to the job;
- Develop clear goals and objectives for this performance year and your criteria for successful accomplishment;
- Identify training and support that can assist to fulfill the job expectations, evaluate requirements and develop a plan to provide it;
- Develop a plan to track and evaluate progress and schedule your interim progress meetings.
- Use the Employee Individual Quarterly Development Plan Form. Download at <http://learningcc.org/perform>
- Use Employee Performance Review Form to show the employee. Download at <http://learningcc.org/perform>

#### DURING THE INTERVIEW:

- Communicate examples for each Core Performance Expectation outlined in the appropriate appraisal form.
- Communicate the goals and objectives, based on your assessment of challenges and discuss and agree priorities and criteria for successful accomplishment.

- Discuss and agree training and support needed or helpful to assist the employee to fulfill the job expectations and document the agreement on the Individual Development Plan.
- Develop and agree a strategy for implementation and communication; and establish interim progress review meeting times and structure.

This should be a collaborative process. This process will involve employee input to develop the goals, objectives and performance expectations.

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## **STAGE TWO: INTERIM PROGRESS CHECK MEETINGS**

### *TO PREPARE FOR THIS MEETING:*

Review the evidence of performance during this interim period, such as:

1. Notes of observations and meetings,
2. Feedback information from customers or organizational recordkeeping systems,
3. Achievements and contributions noted,
4. Other specific, factual feedback, formal or informal.

### *DURING THE MEETING:*

1. Discuss employee's progress against the expectations and action plan,
2. Check that goals and objectives remain relevant and progress is on target,
3. Review support and training provided and its impact on goals and objectives,
4. Identify and plan for additional resources or training as required.

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## **STAGE THREE: END OF RATING CYCLE APPRAISAL**

After stage one and two meetings described above, at the end of year meeting:

1. Reviews the performance since the last interim meeting,
2. Celebrates successes throughout the year,
3. Reflects upon continuing and future challenges and
4. Develops the goals and objectives for the new rating cycle.

Use Employee Performance Review Form to show the employee. Download at <http://learningcc.org/perform>

## **EMPLOYEE SELF-ASSESSMENT**

The most effective end of year performance reviews incorporate employee self-assessment as well as manager assessment. Employee self-assessment can be oral or written and conducted in a manner best suited to the employee. Forms useful for self-assessment can be:

1. Employee Self Assessment Form: Download at <http://learningcc.org/perform>
2. Employee Performance Review Form – Part VI Employee Comments Section: Download at <http://learningcc.org/perform>
3. Any other form or format suitable to both employee and manager

NOTE: Completed self-assessment forms are not required. If they are produced, you are welcome to submit them along with the completed performance review for permanent record keeping.

## **INSTRUCTIONS FOR COMPLETING THE EMPLOYEE APPRAISAL FORM**

1. The forms to support this performance management process are accessible on our website: <http://learningcc.org/perform>
2. Complete the top section providing information as it appears in the permanent employee records.
  - a. Appraisal period start date is January 1st of the year of the appraisal cycle if this employee was in that position at that time. Otherwise it will be the date the employee started in that position.

- b. Appraisal period end date will be December 31st of the year of this appraisal cycle if this employee was in that position at that time.

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## EXCEPTIONS:

*END OF PROBATION APPRAISALS:* If the appraisal form is completed at the end of the probationary period indicate this by inserting the word Probationary behind the end date.

*SUPERVISOR OR EMPLOYEE LEAVES BEFORE END OF APPRAISAL PERIOD:* Supervisors are expected to complete an interim appraisal if either the employee or the supervisor is moving out of this direct relationship during the rating cycle and the employee continues working for the City. This will provide an appraisal of record to encompass the period within this performance year in which that work relationship existed. The direct supervisor of the employee on Dec 31st of that rating cycle will consider the information provided in the appraisal completed by the previous supervisor, along with the self-appraisal provided by the employee when preparing the official appraisal at the end of the rating period.

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## RATINGS LEVEL GUIDANCE

Use the scale below for all items on the form requiring a numeric rating.

- 1 - Below Standard: Employee does not maintain satisfactory performance and needs a performance improvement plan.
- 2 - Meets Standard: Employee performs duties satisfactorily and meets the minimum expectations for the job.
- 3 - Above Standard: Employee frequently exceeds minimum expectations.
- N/A - Too New to Review: Employee has been in current position for less than 30 days.

Comments which illustrate the basis for the chosen rating level are a valuable communication tool for every core performance factor. They are critical documentation for rating level of 1 (Below Standard).

A supervisor must develop a **performance improvement plan (PIP)** for all areas where an employee received a rating of 1 (Below Standard).

### *IF A CORE PERFORMANCE EXPECTATION ON APPRAISAL FORM IS NOT RELEVANT TO THE JOB ROLE:*

The core performance expectations describe the way we perform our work rather than what we do, so it is expected that all will apply to every job role. However, if a specific core performance expectation is clearly not relevant to the job role of an employee you supervise, explain your justification for that decision in the comments area and leave the rating levels area for that core performance expectation blank.

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## OVERALL RATING FORMULA

Using the rating scale mentioned, provide a rating of the employee's overall performance. In determining the overall rating, please calculate **the average rating** you have scored for the employee in each core performance section.

## FORM ROUTING AND SIGNATURES

1. Supervisor completes the employee appraisal form.
2. Supervisor gives the form to the employee for review.
3. Employee provides comments and signs the form.
  - a. Employee's signature acknowledges that the appraisal was discussed with the employee and a copy was provided to the employee.
  - b. Employee's signature does not indicate that the employee agrees with the appraisal rating.
  - c. If the employee wishes to provide comments regarding the appraisal, space is provided in part VI of the form for that purpose. Additional sheets may be attached as appropriate.
4. Employee returns signed form to the supervisor for signing and routing.
5. Supervisor signs the form and delivers to next level supervisor or department director.
6. Next level supervisor reviews the appraisal and ensures consistency of performance ratings throughout this level of the organization.
7. Next level supervisor or department director signs and dates the appraisal form when reviewed and agreed.
8. Once all signatures have been obtained:
  - a. The employee will be given a personal copy,

- b. The rating supervisor should retain a copy, and
- c. The original, along with any self-appraisal forms or other relevant documents will be forwarded to the Human Resources Department for retention in permanent records.

## DEVELOPING CLEAR AND SPECIFIC GOALS

It will not be uncommon for the goals and objectives on this appraisal form to be lifted directly from the Strategies and Goals of the current business plan, from audit reports, grant requirements or other relevant business reports. This performance management process is designed to integrate smoothly with our overall business strategy.

If you are developing objectives and goals for a job role for which none currently exist, you need to assess how this job role can more fully contribute to the City's strategic plan.

It may help to ask the following questions:

1. What takes too long?
2. What are the most common customer complaints?
3. What causes the most misunderstanding?
4. What costs too much?
5. What causes most of our wastage or delay?
6. What task is too complicated?
7. What task involves too many people?
8. What changes will affect this job that we need to prepare for now?
9. What should we be doing that we aren't doing?
10. What are we doing that we should not be doing?
11. What do we want to do better than we are right now?

Discussing these questions with the employee and getting their insight will help with establishing meaningful goals and objectives and performance expectations.

## SUPPORT FOR PERFORMANCE MANAGEMENT

If you need any support or have any questions regarding the City of Corpus Christi Performance Appraisal process, please contact the Human Resources Department, The Learning Institute, City Hall 2<sup>nd</sup> Floor. Email: [learninginstitute@cctexas.com](mailto:learninginstitute@cctexas.com), Phone: 361.298.0980

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