PERFORMANCE MEASUREMENT POLICY

City of Saco, Maine


AMENDED: JULY 1, 2000; – APPENDIX F

AMENDED: JANUARY 1, 2001 – REPORTING, EVALUATION DATE, MERIT STEP SCALE

AMENDED: MAY 21, 2001 – APPENDIX F

AMENDED: MAY 6, 2002 – REPORTING, EVALUATION DATE, MERIT STEP SCALE AND

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A. PERFORMANCE CRITERIA ITEMS

The criteria in this policy is based on and adopted from the Baldrige Performance Excellence Program – National Institute of Standards and Technology, Department of Commerce which can be found at www.nist.gove/baldrige

I. Leadership

Leadership addresses how our senior leaders’ actions guide and sustain our city, setting the cities vision, values, and performance expectations. Attention is given to how our senior leaders communicate with our workforce, enhance their personal leadership skills, participate in organizational learning and develop future leaders, measure the city’s performance, and create an environment that encourages ethical behavior and high performance. How does our governance system fulfill our legal, ethical, and societal responsibilities and support our community.

II. Strategic Planning
Strategic Planning addresses our strategic action planning, deployment of our plans, how adequate resources are ensured to accomplish the plan, how the plan is changed if circumstances require a change, and how accomplishments are measured and sustained. Strategic planning stresses that long-term organizational sustainability and our competitive environment are key strategic issues that need to be integral parts of our city’s overall planning. Decisions about our core competencies are an integral part of our sustainability and therefore are key strategic decisions.

While many cities are increasingly adept at strategic planning, plan execution is still a significant challenge. This is especially true given market demands to be agile and to be prepared for unexpected change, such as volatile economic conditions or disruptive technologies that can upset an otherwise fast-paced but more predictable marketplace. The need to place a focus not only on developing our plans, but also on our capability to execute them is important.

III. Customer Focus

Customer focus addresses how we seek to engage our customers, with a focus on meeting customer’s needs, building relationships, and demonstrating loyalty through their investment in our services offerings. Customer focus is an important outcome of an overall customer culture and listening, learning, and performance excellence strategy.

Our citizen satisfaction and dissatisfaction results provide vital information for understanding our customers and the marketplace. In many cases, the voice of the customer provides meaningful information not only on our customers’ views but also on our marketplace behavior and how these views and behaviors may contribute to the sustainability of our city services.

IV. Measurement, Analysis, and Knowledge Management

Effectively measuring, analyzing and managing knowledge about key information is critical to drive improvement and the city’s competitiveness. This process is the “brain center” for the alignment of our city’s operations with strategic objectives. Central to such use of data and information are the quality and availability. Furthermore, since information, analysis, and knowledge management might themselves be primary sources of competitive advantage and productivity growth, they are considered strategic objectives.

V. Workforce Focus

Workforce focus addresses key workforce practices – those directed toward creating and maintaining a high performance work environment and toward engaging our workforce to enable them and the city to adapt to change and to succeed. Workforce engagement, development, and management are to be aligned with our strategic plan objectives and action plans. Our workforce includes our capability and capacity needs and our workforce support climate.
To reinforce the basic alignment of workforce management with our overall strategy, human resource or workforce planning is part of our overall planning in our Strategic Plan.

VI. Operations Focus

Operations Focus addresses how the work of our organization is accomplished. It examines how our organization designs, manages, and improves our key work processes and the work systems of which they are a part. It stresses the importance of our core competencies and how we protect and capitalize on them for success and organizational sustainability. It calls specific attention to the need to prepare for potential emergencies and to ensure continuity of operations.

Efficient and effective work systems require effective design; a prevention orientation; and linkage to customers, and stakeholders, as well as a focus on value creation; operational performance; cycle time; emergency readiness; and evaluation, continuous improvement, innovation, and organizational learning.

Agility, cost reduction, and cycle time reduction are increasingly important in all aspects of process management and our organizational design. In the simplest terms, “agility” refers to our ability to adapt quickly, flexibly, and effectively to changing requirements. Depending on the nature of our strategy and markets, agility might mean rapid change from one product to another, rapid response to changing demands, or the ability to produce a wide range of customized service. Agility also increasingly involves decisions to outsource, agreements with key vendors, and novel partnering arrangements. It is crucial to utilize key measures for tracking all aspects of our overall process management.

VII. Results

The results goal provides a results focus that encompasses our objective evaluation and our customers’ evaluation of our city’s product/service offerings, our overall financial and market performance, our workforce results, our leadership system and societal responsibility results, and results of all key processes and process improvement activities. Through this goal, the purpose is to provide a superior value of offerings as viewed by our citizens and the marketplace; superior organizational performance as reflected in our operational, workforce, legal, ethical, societal and financial indicators, and organization and personal learning – are maintained. This goal provides ‘real- time’ information (measures of progress) for evaluation and improvement of processes and services, in alignment with our overall strategic plan.

B. Glossary of Terms – In addition to the following definitions, please see 2011-2012 Criteria for Performance Excellence, page 56

1. CAREER DEVELOPMENT BUDGET: Used to reward added value, new skills or job changes; to move employees closer to market or for equity adjustments; may
be given as base pay or lump sum; DRIVER: Senior executive leadership sets directions, creates values, goals, and systems, and guides the pursuit of customer value and organization performance improvement.

2. EFFICIENCY: The relationship between inputs and outputs – ratios. Efficiency measures reflect the relationship between work, performed and the resources required to perform it.

3. EVALUATION: The two-part process of measurement and subjective judgment based on facts.

4. JOB ANALYSIS: This involves a determination of the business necessity of the job. Those business relationships need to be analyzed and documented.

5. MARKET ADJUSTMENT: Pay scale is adjusted each fiscal year as the same increases approved for the union contracts.

6. MERIT/VARIABLE PAY ANNIVERSARY DATE: The date in which an employee shall receive his/her merit/variable pay increase. The date shall be the first month beginning of the forthcoming fiscal year (July 1st).

7. MERIT BUDGET: Used to reward annual performance; may be given as base pay, lump sum, or combination;

8. MILESTONE – LONG RANGE: Achievement levels to be reached within the next 3 to 5 years.

9. MILESTONE – SHORT RANGE: Near-term performance targets; they establish the pace for achieving the long-range objectives.

10. OBJECTIVE: Performance targets the city wants to achieve.

11. OBSERVABLE: Performance being rated should be capable of being observed.

OPERATIONAL ACCOUNTABILITY: To ensure that services are provided in the most efficient and effective way possible.

12. OUTCOME: Indicates the quality of the service provided. Outcome is an effectiveness measure.

13. OUTPUT: Indicates the amount of work performed or the amount of service provided. Output is a workload measure.

14. PERFORMANCE EVALUATION: The process by which worthy achievements are judged as to the degree they satisfy the standards established for their successful accomplishment.

15. PERFORMANCE MEASUREMENT: A systematic process for determining how a program is accomplishing its mission, service delivery goals, and objectives by tracking, output, outcome, efficiency and productivity.

16. PERFORMANCE OBJECTIVE: Measurement on a regular basis in an attempt to assist government officials and citizens in identifying financial and program results, evaluating past resource decisions and facilitating qualitative improvements in future decisions regarding resource allocation and service.

17. PERFORMANCE STANDARD: Criteria by which value or worth of which an accomplishment is judged. A standard is a job related expectation that the employee is capable of consistently achieving. A standard is a rule, custom or
practice used as a comparison in measuring or judging the quality, quantity and value of an employee’s performance.

18. PRODUCTIVITY MEASURE: The dimensions of efficacy and efficiency are combined into a single factor.

19. STRATEGY: Managerial action plan for achieving city objectives; strategy is mirrored in the pattern of moves and approaches devised by management to produce the desired performance. Strategy is the HOW of pursuing the City’s mission and reaching target objectives.

20. STRATEGIC GOAL: A strategic goal is a general statement of purpose that pertains to how the City achieves its mission and vision. The strategic goal generally addresses end results rather than specific actions. A goal provides a framework and direction for the city departments to align their objectives and plans to achieve the goals.

21. STRATEGIC PLAN: Statement outlining the city’s mission and future direction, near-term and long-term performance targets, and strategy, in light of the city’s external and internal situation.

22. STRATEGIC VISION: A view of the city’s future direction and course; a guiding concept of what the city is trying to become.

C. Vision

1. **City Council Vision**: Our vision is a high quality of life for Saco citizens and central to this vision is a sustainable economy that offers an opportunity for everyone to have rewarding employment and for business to prosper, now and in the future. The people of Saco bring this vision into reality by working together and building on our tradition of hard work, dedication, and ingenuity.

2. **Citizens Statement that Symbolizes the City of Saco**: Saco is a City that provides families of all kinds with a community that values its heritage, cherishes its environment, balances its growth, and offers a concerned and caring spirit.

3. **Staff’s statement of vision for the City**: To enhance our community through exceptional service.

D. **Strategic Goals**

The following ten items represent the strategic goals adopted within the City’s strategic plan. These strategic goals represent a general statement of purpose that pertains to how the City achieves its mission and vision. The strategic goal generally addresses end results rather than specific actions. A goal provides a framework and direction for the city departments to align their objectives and plans to achieve the goals.
The City recognizes the downtown’s significance as the economic and community center. The City will continue to support the revitalization of the downtown and will support groups like Saco Spirit.

**Infrastructure and Capital Development and Maintenance**
The City is committed to maintaining and improving the City’s infrastructure, facilities, and equipment by maintaining the current and planning for the future.

**Growth Management**
The City will encourage orderly growth and development in appropriate areas while protecting natural resources and rural character, in order to maximize the efficient use of municipal services and discourage sprawl.

**Meeting New Environmental Regulation Challenges**
The City recognizes and supports the regulations that will improve the quality of our natural resources.

**Technological Innovation and Implementation**
The City will commit considerable efforts for the development of a technological infrastructure that facilitates communication with the citizens and improves the effectiveness of City employees.

**Human Resource Investment**
The City recognizes that the City’s employees are a considerable resource that requires investment to ensure that we have the talents and skills needed to meet the needs of the City.

**Leisure Services Investment**
The City understands the needs for active and passive recreational facilities and cultural for its citizen’s leisure pursuits and will continue to upgrade and develop new outlets to meet these needs.

**Meeting the Financial Needs for City Services**
The City will make every effort to financially support the needs of the City through traditional and nontraditional revenue sources such as grants, user fees, and impact fees.

**Public Safety**
The City will endeavor to provide a safe and secure community.

**Traffic**
The City will endeavor to provide safe, reliable and unfettered movement of people and freight through the City.
E. **Strategic Plan**

1. Each objective contained in the City's Strategic Plan is aligned with one or more of the nine Strategic Goals. Each of the objectives contains milestones that identify major accomplishments that will need to be completed to finish the objective.

2. A critical piece of this plan is that the time horizon has been expanded to consider financial and resource capabilities. An objective may span a number of years depending on the goal's complexity and financing. This plan will allow the city to track progress on all goals and objectives over time.

3. The intent of this plan is to provide strategic direction for the management of the City and to align departmental objectives with this direction. Each year the plan will be reviewed and updated with the Mayor, City Council, and staff.

4. From the use of the strategic plan, performance measurements are established to identify and plan for your goals activities, resulting in the achievement of your goals; i.e., what will be done?; at what cost?; and who will benefit? Milestones
contained in the budget should be compatible with the milestones in the strategic plan. Determine the historical relationships between the inputs (expenditures and staffing), outputs, and outcomes. Look at any explanatory data accompanying the historical relationships. Use this relationship to formulate initial estimates of milestones compatible with the amount of resources being considered for the department’s proposed budget. Consider the level of outcomes achieved by similar departments or under various conditions. For example, the outcomes achieved by better-performing departments that provide similar services can provide benchmarks that can be emulated. Review the findings and recommendations of any recent evaluations; plans such as the Comprehensive Plan, Landfill Reuse Plan, Information Technology Plan, and the Information Technology “Best Practices” Assessment prepared by Evergreen Data Continuity, Inc.

F. Strategic Objectives

1. Strategic objective is a statement of purpose defined more specifically than a goal. Objectives usually are departmental responsibilities concerned with achieving a strategic goal. An objective indicates measurable levels of achievement and may be time specific or financially constrained. The strategic objective will define responsible individuals or teams, and specific statements with regard to milestones and performance measures/outcomes.

2. The strategic objectives are established by both the City Council and the various City department heads. Every strategic objective is aligned with one or more of the 9 strategic goals. The intention of the objectives is to cumulatively focus all city departments on the achievement of the strategic goals. By achieving the objectives, the City will have indirectly achieved the results sought in establishing the strategic goal. The objectives established by City department heads also serve as the year end performance measure for goal achievement in the merit based pay system. Each objective has milestones detailing the steps necessary to achieve that objective. This system of goals, objectives and merit based pay assures that all levels of City government are working towards the same vision and ultimately progress for the City of Saco.

3. The various objectives established for each strategic goal by the various department heads can be reviewed within the City’s separately bound Strategic Plan as well as the City’s web site.

G. Milestones (Performance Measures)

1. Each strategic objective contains milestones that identify major accomplishments that will need to be completed to successfully achieve the objective.

2. These milestones create measurability of success or failure. The time horizon has been expanded for milestones to consider financial and resource capabilities.

3. An objective may span a number of years which will allow the City to track
progress on all goals and objectives over time.

4. Long range milestones are the achievement levels to be reached within the next 3 to 5 years.

5. Short Range milestones are near term performance targets which establish the pace for the achievement of the long range objectives.

H. SCORING SYSTEM

The scoring of responses to Criteria Items and feedback are based on two evaluation dimensions: (1) Process and (2) Results. Criteria users need to furnish information relating to these dimensions. Specific factors for these dimensions are described below. Scoring Guidelines are given on pages 31-32.

Process

“Process” refers to the methods you use and improve to address the Criteria Item VI. The four factors used to evaluate process are Approach, Deployment, Learning, and Integration.

“Approach” refers to

• the methods used to accomplish the process
• the appropriateness of the methods to the Item requirements
• the effectiveness of your use of the methods
• the degree to which the approach is repeatable and based on reliable data and information (i.e., systematic)

“Deployment” refers to the extent to which

• your approach is applied in addressing Item requirements relevant and important to your objectives
• your approach is applied consistently
• your approach is used by all appropriate work units

“Learning” refers to

• refining your approach through cycles of evaluation and improvement
• encouraging breakthrough change to your approach through innovation
• sharing refinements and innovations with other relevant work units and processes in your organization

“Integration” refers to the extent to which

• your approach is aligned with your organizational needs identified in the Organizational Profile and other Process Items
• your measures, information, and improvement systems are complementary across
processes and work units

- your plans, processes, results, analyses, learning, and actions are harmonized across processes and work units to support organization-wide goals

Results

“Results” refers to your outputs and outcomes in achieving the requirements in Criteria Item VII. The four factors used to evaluate results are Levels, Trends, Comparisons, and Integration.

“Levels” refers to

- your current level of performance

“Trends” refers to

- the rate of your performance improvements or the sustainability of good performance (i.e., the slope of trend data)
- the breadth (i.e., the extent of deployment) of your performance results

“Comparisons” refers to

- your performance relative to appropriate comparisons, such as competitors or organizations similar to yours
- your performance relative to benchmarks or industry leaders

“Integration” refers to the extent to which

- your results measures (often through segmentation) address important customer, product and service, market, process, and action plan performance requirements identified in our Organizational Profile and in Process Items
- your results include valid indicators of future performance
- your results are harmonized across processes and work units to support organization-wide goals

Item Classification and Scoring Dimensions

Items are classified according to the kinds of information and data you are expected to furnish relative to the two evaluation dimensions given above.

The two types of Items are designated as

1. Process
2. Results

In Process Items, Approach, Deployment, Learning, and Integration are linked to emphasize that descriptions of approach should always indicate the deployment—consistent with the specific requirements of the Item. As processes mature, their description also should indicate how cycles of learning (including innovation), as well as integration with other processes and work units, occur.
Results Items call for data showing performance Levels, Trends, and relevant Comparisons for key measures and indicators of organizational performance, and Integration with key organizational requirements. Results Items also call for data on the breadth of the performance results reported. This is directly related to deployment and organizational learning; if improvement processes are widely shared and deployed, there should be corresponding results. A score for a Results Item is thus a composite based on overall performance, taking into account the four results factors (LeTCI).

“Importance” as a Scoring Consideration
The two evaluation dimensions described previously are central to evaluation and feedback. A critical consideration in evaluation and feedback is the importance of your reported process and results to your key factors, and our key customer requirements, competitive environment, workforce needs, key strategic objectives, and action plans are particularly important.

Assignment of Scores to Your Responses
The following guidelines should be observed in assigning scores to Item responses. All areas to address should be included in the Item response. Also, responses should reflect what is important to the organization In assigning a score to an Item, first decide which scoring range (e.g., 50 percent to 65 percent) is most descriptive of the individual’s level as presented in the Item response. “Most descriptive of the organization’s achievement level” can include some gaps in one or more of the ADLI (process) factors or the LeTCI (results) factors for the chosen scoring range. An organization’s achievement level is based on a holistic view of either the four process or four results factors in aggregate and not on a tallying or averaging of independent assessments against each of the four factors. Assigning the actual score within the chosen range requires evaluating whether the Item response is closer to the statements in the next higher or next lower scoring range, and that addresses the key organizational needs. Higher scores reflect greater achievement, demonstrated by broader deployment, significant organizational learning, and increased integration.

■ A Results Item score of 50 percent represents a clear indication of good levels of performance, beneficial trends, and appropriate comparative data for the results areas covered in the Item and important to the organization’s business or mission. Higher scores reflect better trends and levels of performance, stronger comparative performance, and broader coverage and integration with the requirements of the business or mission.

■ A Process Item score of 50 percent represents an approach that meets the overall requirements of the Item, that is deployed consistently and to most work units, that has been through some cycles of improvement and learning, and that addresses the key organizational needs. Higher scores reflect greater achievement, demonstrated by broader deployment, significant organizational learning, and increased integration.

Performance Measurement
1. Annually, the Employer and Employee shall define outcomes, outputs, and efficiencies and productivity measures for objectives. They shall generally be attainable within the
time limitations as specified and the annual operating and capital budgets and appropriations provided. Said measures and objectives are to be produced in writing.

2. The employee shall prepare bi-annual reports of progress towards objectives to his/her supervisor and shall be submitted June 1\textsuperscript{st} and December 1\textsuperscript{st} each year. His/her report shall include his/her assessment of employment goals and objectives established at his/her previous evaluation. A summary of these bi-annual reports will be submitted with the annual evaluation.

3. The objective setting process will work with a win-win agreement between supervisors and employees. It represents a clear mutual understanding and commitment regarding expectations in five areas: Specify desired results. The results should be discussed in terms of quantity and quality. Set budgets and schedules. Set timetables.

   a. Guidelines. Identify no-no’s or failure paths that have been identified by past experience. What is the level of initiative regarding responsibilities? What are the reporting expectations?

   b. Identify available resources. Identify the financial, human, technical, and city resources available to employees to assist them in getting desired results. What structures and systems are available?

   c. Define accountability. What are the standards of acceptable performance? Results can be evaluated three ways; measurement, observation, and discernment. How are progress reports to be made and accountability.

   d. Determine consequences. Reach an understanding of what follows when the desired results are achieved or not achieved.

J. Sources for and Approach to Setting Objectives:

1. Summary of progress on objectives will be submitted in December for the first six (6) months and in June for the following next six (6) months. This summary will be considered for inclusion in the City’s Annual Report. A summary of progress on objectives will be submitted with budget request for the coming year, as will a proposed change in objectives for the department.

2. Key Development Objectives – Employees shall establish five (5) key development objectives. The first three (3) objectives shall be objectives that are challenges, tasks or projects that are above and beyond your everyday duties and responsibilities. These objectives shall represent thirteen (13) points each. The last two (2) objectives established shall be objectives that are professional development objectives. These objectives shall be learning and growth objectives. These two (2) objectives shall be three (3) points each.

K. Evaluation by the Employer

1. The employee shall meet with the employer in June for the purpose of evaluating the employee. The employer shall, at that meeting, discuss with the employee his/her performance in relation to criteria as defined by the employer. They shall
also discuss the progress made toward meeting the employment goals and objectives established for the year. Note: the purpose of establishing specific employment goals and objectives is intended to assist the employee and employer to establish priorities for action. Failure to accomplish certain employment goals and/or objectives is not intended, necessarily, to connote failure on the part of the employee in his/her position.

2. The Employer shall see that a written summary be prepared, subsequent to the June, reflecting the evaluation of the Employee by the Employer as a whole. A copy of the summary shall be signed by the supervisor on behalf of the Employer and discussed with the Employee who shall, in turn, sign it as an indication that he/she has read and discussed the document with the Supervisor. A copy of the summary shall be placed in the employee’s personnel file, a copy retained by the supervisor and a copy provided the Employee.

3. Any statements by an employee expressing disagreements with any portion of the employer’s evaluation as summarized, may be included with the summary, providing the employee signs them.

4. Merit Increase – Merit increases and/or merit bonuses, if awarded, shall be effective July 1st for the upcoming fiscal year. Employee evaluations shall be completed in June for the current fiscal year merit increase for all employees.

L. New Hires & Promotions

1. Performance evaluations shall be done for non-union employees.
   For example: When your evaluation has been completed, your merit pay increase, if any, shall take place in the forthcoming fiscal year.

2. For new employees or new promotions into a new non-union position or title, these employees would follow the following process: If hired or promoted into a non-union position and there is nine (9) to twelve (12) months remaining in the fiscal year, the employee shall be entitled up to a three step merit increase which shall take place on July 1st for the forthcoming year; if hired or promoted into a non-union position and there is six (6) to (9) months remaining in the fiscal year, the employee shall be entitled up to a two step merit increase which shall take place on July 1st in forthcoming year. Merit increases and bonus pays shall be according to the points outlined in the Performance Rating Scoring Table under section N. Merit Pay.

M. Criteria for Evaluation – see section “A. PERFORMANCE CRITERIA ITEMS” page: 3

N. Merit and Variable Pay

The Four/Fifths Rule: The performance levels of employees working in similar units should not vary by more than 20% provided they have similar desire, opportunity and ability to perform the standards. When performance levels within similar work units vary by more than 20% lack of desire and/or opportunity is assumed to be the source of the problem. The granting, failing to grant or revocation of merit pay shall be at the sole discretion of the city based upon job performance. The city shall adopt a point system for the purpose of evaluating
employees for merit pay. Partial score: How is the employee rated when one or more of the items listed as Characteristic Performance do not apply? The Supervisor and the employee shall review all of the Performance Characteristics at the performance evaluation meeting and determine which ones apply to the employee’s position. The Performance Characteristics that do not apply will be removed from the scoring process. The total score will be decreased proportionately to recognize that fewer measures are being used.

<table>
<thead>
<tr>
<th>Performance Ratings Scoring</th>
<th>Step</th>
<th>Step Points: Full Score</th>
<th>Proposed Points: Full Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Marginal Performance</td>
<td>0</td>
<td>0-44</td>
<td>0-87 (0-86.5)</td>
</tr>
<tr>
<td>Good Performance</td>
<td>1</td>
<td>145-154</td>
<td>88 – 122 (87.5-121.5)</td>
</tr>
<tr>
<td>Good to Excellent Performance</td>
<td>2</td>
<td>155-165</td>
<td>123 – 157 (122.5 – 156.5)</td>
</tr>
<tr>
<td>Excellent Performance</td>
<td>3</td>
<td>166-175</td>
<td>158 – 175 (157.5 – 175)</td>
</tr>
</tbody>
</table>

Employees who are in the first and second quartile rows 1 & 2 are eligible for up to a 3% increase in base pay. Employees with wages starting at the bottom of the 3rd quartile, row 3 are eligible for up to a 2/3% increase in base pay and a 1/3% one-time variable pay. Employees with wages starting at the bottom of the 4th quartile, row 4 are eligible for up to a 1/3% increase in base pay and 2/3% one-time variable pay. Employees who have achieved the cap are eligible for up to a 3% increase as a one-time variable pay.

O. The Evaluation Schedule

1. Probationary Employees: During the probationary period, employees will be evaluated upon the completion of the third, sixth, and twelfth month of employment. The supervisor shall use the forms appropriate for the review period as attached to this manual as Appendices A, B, and D. Upon completion of the appraisal, the department head will forward the review form to the Human Resource Officer who shall place it in the employee’s personnel file.

2. Regular Full and Part-time Employees: Performance evaluations shall be conducted on an annual basis during the month of June for all department heads and the same for all other full-time non-union employees. Completed performance review forms shall be forwarded to the Human Resource Officer who shall place them in the employee’s personnel file. Appendix E is an example of a regular employee performance evaluation.

3. At other times during the year, there may be incidents that should be recorded. These may be of a positive or negative nature in which the employee’s performance should be noted and a copy submitted to the employee’s personnel file. These are included as appendix C.

P. Who will conduct the Evaluation?

1. The evaluation form shall be completed by the employee’s immediate supervisor(s).
An immediate supervisor, for the purposes of this system, is defined as one who is responsible for personnel action involving his/her subordinates. In those instances where the employee works for more than one supervisor, the supervisors will consult and prepare one evaluation. Once the performance evaluation is completed, discussed with the employee and signed by the employee, the City Administrator shall read each review before filing the form in the employee’s personnel file.

2. The Council shall evaluate the City Administrator.
3. The City Administrator shall evaluate the performance of the Department Heads, Human Resource Director and the Executive Assistant.
4. Department Heads shall evaluate the performance of all subordinate personnel unless they otherwise delegate the responsibility to their deputies or assistants. The City Administrator must first approve such delegations.

Q. Planning and Conducting the Performance Evaluation Review

1. Even the most well-designed performance evaluation system cannot completely eliminate the fear that most employees have about being evaluated. Since the objective of the performance review session is communication, it is important for the appraiser to plan and conduct the session with great care.

2. Planning for the performance review session involves six steps: interview preparation; interview initiation; interview structuring; interview communications; interview planning; and interview closing.

3. Interview Preparation: This refers to the "homework" the evaluator must do prior to the actual review session. This homework includes:

   • Carefully reviewing the evaluation form.
   • Reviewing the job description and Part I "Job knowledge" to ensure that the factors on which this employee is about to be rated are the correct ones (i.e. the job description has not changed). In order to do this a copy of the current job description will be attached to each performance appraisal from the City Administrator’s office.
   • Review the other performance criteria and standards and reflect upon major tasks or assignments which have been ratings in Part II "General Responsibilities".
   • Review any records, which you may have kept during the review period. (i.e. incident reports).
   • Review how well the employee met his/her stated goals from the previous evaluation.
   • Employees desires, opportunities, and abilities.
   
   o Interview Initiation: This deals with the verbal and non-verbal interactions which occur during the first few minutes of an evaluation interview. Research has shown that the first five minutes of an interview often set the tone for the entire session. Discomfort created early on may be impossible to overcome during the session.

4. The interview will get off to a good start if the evaluator:
   
   a. Shows concern for the physical setting by selecting a location for the interview, which is private and free from distractions and interruptions. (Don’t take phone calls.)
b. Expresses concern for the employee's comfort (for example, offers a cup of coffee.)

c. Conveys warmth and receptiveness.

d. Some things an evaluator should always do:

e. Make sure the employee was told about the review session at least five days in advance.

f. Require the employee to fill out the Self Assessment/Development Review Form (Appendix D) in advance of the meeting.

g. Conduct the interview at a table rather than from behind a desk. If such a setting is not possible, sit on the same side of the desk as the employee.

h. Strive for a level of informality (but not too informal since this will help facilitate communication.

i. Don't compare the employee with other employees. -This will only cause resentment.

j. Emphasize the employee's strengths. People are better able to build on areas of strength. Use these strengths to help improve weaknesses.

k. Don't dwell on past errors and mistakes. Discuss how to prevent similar situations in the future. Comment on improvements. If the employee has corrected a deficiency you have previously criticized, let him/her know you are aware of the improvement.

l. Avoid surprises. Don't criticize past performance for which the employee has not been previously advised during the course of day-to-day supervision.

m. Of particular importance is putting the employee at ease. One of the most effective ways to do this is to tell the employee immediately the purpose of the review session - which it will be a joint discussion of how things are going on the job.

R. **Interview Structure:**

This refers to letting the employee know how the interview will be structured. Five specific concepts should be communicated:

1. The goals and uses of performance evaluations in the City of Saco.

2. The specific objectives of this review session:
   a. To provide specific feedback on performance;
   b. To discuss general issues or concerns about performance;

3. To discuss opportunities for growth or improvement;

4. To formulate a plan for the coming year.

5. The outline of the review session and the actual events that will occur during the review session.

6. The review will require two-way communication. Assess the employee's level of trust in the process. The employee must be willing to communicate his/her perception on the process and the results.

7. The ways in which the City will use the review.

S. **Interview Communication:**

1. As much as 70% of the meaning of a communication is imparted by means other than words. Voice pitch, volume, stress on certain words, body
posture, and facial expression supplement (or even change) the meaning of the words used.

2. There are specific skills that must be practiced regularly to ensure quality communication. These skills are listed below:
   a. Attending: This skill refers to behaviors that show the employee that the rater is, in fact listening to what he or she is saying. Some things the rater can do to show that he/she is attending are:
   b. Maintain eye contact (not a stare). Look directly at the employee when speaking and listening.
   c. Ask how the employee feels things are going on the job. Then listen
   d. Maintain a relaxed posture. This can convey to the employee that the evaluator is comfortable.
   e. Try not to interrupt the employee.

3. Clarifying: Clarifying statements are specific verbal invitations on the evaluator's part that admit a lack of understanding about the employee's communication. (i.e., "I'm not sure I understand," or "Can you give me an example?")

4. Feedback: As the evaluator gives feedback, he/she should be sure to:
   • Describe employee behaviors;
   • Identify specific "critical incidents";
   • Address previously agreed-upon goals;
   • Focus on important job dimensions; and
   • Give recognition for desirable performance that the evaluator would like to see continued.
   • Reiterate the previously established performance criteria and standards.
   • Check and clarify to insure good communication.

T. Interview Planning:

1. Once the employee's past performance has been discussed, the focus should shift to the future. What will or can be done to maintain or to improve performance in the next review period? Performance improvements are likely to occur only if specific plans are developed and specific goals are set for achieving the desired performance. Research has shown that the planning process is more effective if the employee is involved in it.

U. Interview Closing:

1. The interview can be considered finished only when the employee has the following information:
   a. Concerning past performance
   b. Concerning future performance
   c. Areas of agreement
   d. Areas of Disagreement: How will these be resolved?
   e. Many supervisors have found it is best to have the employee summarize the points listed above since it is all too easy for the supervisor to do the summarizing with the employee nodding his/her head in agreement and then leaving the review session without a clear
V. Signatures:

1. The evaluator, the Department Head, and the employee must sign the evaluation. Completed forms should be copied and a copy given to the employee, a second copy retained by the Supervisor/Department Head and the original returned to the Human Resource Office. The Human Resource Director will initial acknowledgment of all performance appraisals.

W. The Appeal Process

1. Upon completion of the performance evaluation by the immediate supervisor, the reviewing authority shall review and sign the evaluation. The reviewing authority shall be the Department Head.

2. If the employee wishes to discuss or review the evaluation with someone other than the immediate supervisor, the employee may appeal to the Department Head. An appeal may only be made when an employee can demonstrate that the evaluation is unfair or inaccurate, or did not follow proper procedures. In cases where disagreement exists between the employee and the immediate supervisor, the Department Head shall meet and confer with the employee and supervisor.

3. The Department Head shall hear the disagreement and shall issue a decision.

4. If the employee remains dissatisfied following the decision by the Department Head, the employee may, within ten (10) days, request a review by the City Administrator. The appeal request must be in writing and state the reasons for the appeal and the points of disagreement. The City Administrator or his/her designee shall consider the appeal on procedural grounds, fairness or accuracy only, i.e., Did the rater use the proper procedures in conducting the review?

5. The decision of the City Administrator shall be final. This appeal process shall also apply to reviews conducted directly by the Department Head.

X. Confidentiality of Appraisals

1. Only individuals who have a job-related interest in reviewing an employee appraisal shall have access to it or be privileged to review it (e.g. the employee rated, the immediate supervisor, the Department Head, City Administrator or a Department Head considering the employee for a position within his/her department).

2. All completed forms that are routed within a department or to the City Administrator's office shall be placed in a sealed envelope for transmittal. An employee appraisal shall be discussed only with the employee and his/her
Y. Avoiding Rater Error

1. The evaluation form is a neutral tool designed to assist you in rating an employee’s work performance. The role of the rater/evaluator is to ensure that this tool is used fairly and objectively. Common errors to avoid during the evaluation process are:

   a. Leniency: An employee is rated higher than performance indicates from a desire to keep friendship, to avoid unpleasantness, or a fear that a low rating indicates poor supervision.
   
   b. Averaging Tendency: A tendency to rate nearly everyone as "average" on every trait. The supervisor/rater should use the ends of the scales as well as the center.
   
   c. The "Halo Effect": The tendency to rate the same individual as being excellent, or poor ("Fire to the Foot") on every trait based on a "general opinion" of performance immediately prior to evaluation or on totally non-relevant factors (such as religion or gender). Each employee has strong and weak points.
   
   d. The Recent Error: The tendency to rely heavily on recent events in assessing the employee's performance. In order to minimize the use of the recent approach, raters should note employee accomplishments and behavior throughout the performance appraisal period. See attached Incident Report - Appendices C.
   
   e. Length of Service Bias: This error occurs when a tenured employee is assumed to be performing adequately simply because of his or her experience.
   
   f. The Tight Rater: This type of rater feels that no employee can live up to high standards they have set for them. These raters seldom rate an employee as "outstanding" or "excellent".
   
   g. Similar to Me and Contrast Errors: This error refers to the tendency to give slightly higher ratings to persons who are similar to the evaluator in attitudes, education, income, interest, etc. than to persons who are not similar. This error becomes more important as the differences between the evaluator and the employee increase. The "contrast error" occurs when the employees are rated relative to each other than on the basis of the performance standards. For example, if both Mary and John are "outstanding" in their report writing skills, with Mary being better than John, a contrast error would be to give Mary the "outstanding" rating and John the next lower rating even though he deserved the "outstanding" rating too.

Z. Instructions for completing evaluation forms

1. Time for completing evaluation.
2. Three-Month Certification, to be completed and returned to the City Administrator by the end of the first week of the 4th month of employment.
3. Six-Month Certificate to be completed and returned to the City Administrator by the end of the first week of the 7th month of employment.
4. Incident Performance Report to be completed within three (3) days of an incident.
and filed with supervisor.

5.

General Instructions/Methodology

1. Department Head - You should complete the Employee Performance Evaluation Form rating your performance and making comments under each category. When completed, return the form to your supervisor.

2. Supervisor - The supervisor should evaluate the employee's comments and assess the employee's performance using the Employee Performance Evaluation Form.

3. The appraisal should be reviewed and signed by the Supervisor prior to the appraisal session.

4. The supervisor should select a location that will ensure uninterrupted privacy and make sure ample time is allowed for the appraisal session. The employee should receive a copy of the performance appraisal at least one day prior to the meeting.

5. The employee and supervisor should complete Key Department Goals together. The action plan does not need to be lengthy, but the employee should have a feeling of "moving forward" in their position. Upon completion of the appraisal session, both supervisor and employee must sign and date the form. A signed copy should be provided to the associate if requested. The completed and signed appraisal form must be forwarded to the Human Resource Director.

Appendix A – Three-Month Certification of Employee Performance

Employee Name

______________________________________________

Department

______________________________________________Position/Title_____________________

Date of Hire____________________ Date of Evaluation____________________

Covering Period From __________ TO __________

Evaluator’s Name __________________________ Title_____________________

(   ) I certify that the above-named employee is making satisfactory progress toward completion of the six-month probationary period.

(   ) I certify that the above-named employee is not making satisfactory progress toward completion of the six-month probationary period. Improvement is necessary in the following areas:

Reviewer’s Signature __________________________ Date: __________

My signature below indicates that I have been seen this certification.
Employee’s Signature_______________________________________ Date: __________
Appendix B – Six-Month Certification of Employee Performance

Employee Name

Department

Date of Hire________________________ Date of valuation________________

Covering Period From________________ TO ____________________

Evaluator’s Name

Next Evaluation Date________________

Evaluator’s Name: ___________________________ Title: ____________________

( ) I certify that the above-named employee has made satisfactory progress toward completion of the six-month probationary period.

( ) I certify that the above-named employee has not made satisfactory progress toward completion of the six-month probationary period. Improvement is necessary in the following areas:

Reviewer’s Signature: ___________________________ Date: ______________

My signature below indicates that I have been seen this certification.

Employee’s Signature ___________________________ Date: ______________

Department Head’s Signature ___________________________ Date: ______________

Adopted: ____________________
Appendix C - Incident Performance Report Form

Employee’s Name: ________________________________________________________________

Title/Position: __________________________ Date of Incident: _______ Time: _______

Location: _____________________________

Check one: ___________ Personal Observation  _____ Hearsay

Describe:

________________________________________________________________________________

________________________________________________________________________________

Second-Party

Describe:

________________________________________________________________________________

________________________________________________________________________________

Description of Incident (Include specific details, how behavior affected others, cause and effect factors, special circumstances, etc.):

Area of Performance Affected (see appraisal form):____________

Follow-up planned: Yes_______ OR No _________

Action Taken__________________________________________________________

________________________________________________________________________________

Was this incident discussed with the employee? Yes_____ OR NO___________

Date Form Completed: ____________________ Time: _______________

Signature: ________________________________________ Title: ________________
## Appendix D – Performance Measurement Form

### GENERAL INFORMATION
Supervisor to fill in all sections of the Performance Appraisal Form EXCEPT for Employee Comments and Self Appraisal. All underlined words are hyperlinks to more detail or instructions/explanation of word/section.

<table>
<thead>
<tr>
<th>Employee Name:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee Number:</td>
<td></td>
</tr>
<tr>
<td>Job Title:</td>
<td></td>
</tr>
<tr>
<td>Range:</td>
<td>Step:</td>
</tr>
<tr>
<td>Review Date:</td>
<td></td>
</tr>
<tr>
<td>Review Type:</td>
<td></td>
</tr>
<tr>
<td>Optional Rater:</td>
<td></td>
</tr>
<tr>
<td>Employee Number:</td>
<td></td>
</tr>
<tr>
<td>2nd Level Reviewer:</td>
<td></td>
</tr>
<tr>
<td>Employee Number:</td>
<td></td>
</tr>
<tr>
<td>Disciplinary Review Period:</td>
<td>From:</td>
</tr>
</tbody>
</table>

### APPRAISAL INFORMATION

<table>
<thead>
<tr>
<th>Action Requested:</th>
<th>Merit Increase</th>
<th>Merit Increase Review Deferred ___Days (max 6 mos)</th>
<th>Probation Period Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Merit Denied</td>
<td></td>
<td></td>
<td>Probation extended ___days</td>
</tr>
<tr>
<td>1 % Merit/or variable increase</td>
<td></td>
<td></td>
<td>Reduction in Pay</td>
</tr>
<tr>
<td>2% Merit/or variable increase</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3% Merit/or variable increase</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unscheduled merit increase</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Salary Adjustment - Use this box for Open Pay Range Only – Indicate new salary below Change Salary to: $_______bi-weekly</td>
<td>$_______annual Current Annual Salary</td>
<td></td>
<td></td>
</tr>
<tr>
<td>$_______% Increase/Decrease:</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Overall Rating:</th>
<th>Successful Performance</th>
<th>Performance Improvement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Required</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### SIGNATURES

Employee Signature (acknowledging receipt) Date | Supervisor’s Signature (name) Date | Date

- No comments regarding performance appraisal attached
- See employee’s comments section

### SUPERVISOR’S COMMENTS
(Box below will expand to fit your text)

(note: FMLA absences shall not be discussed on Performance Appraisals)

### EMPLOYEE ‘S COMMENTS
(The employee has 3 working days to comment/indicate No Comments and return the PAF to the rater)
(Box below will expand to fit your text)
EMPLOYEE PERFORMANCE APPRAISAL
OVERALL RATINGS, CORE VALUE DESCRIPTIONS, CITY COUNCIL STRATEGIC INITIATIVES

Overall Ratings

Successful Performance
An employee who successfully completes key or critical core value standards relating to the stated job requirements and supervisor’s expectations for the rating period. This rating also applies to those who regularly demonstrate a higher level of productivity than is routinely expected or who consistently to above and beyond stated job requirements.

Performance Improvement Required
An employee who may accomplish some of the stated job requirements and expectations but is lacking in one (1) or more key or critical core value(s) or job requirement(s). At this point it is recommended that a Corrective Action Plan be initiated to give direction and resources to the employee for improving performance, and outline disciplinary consequences if performance does not improve.

CORE VALUE DESCRIPTIONS
The following items are core values upon which all employees (including supervisors and department heads) will be rated.

LEADERSHIP (page 7 – Criteria for Performance Excellence)
How do you lead?
- Vision, Values, and Mission
- Communication and Organizational Performance

How to you govern and fulfill your societal responsibilities?
- Organizational Governance
- Legal and Ethical Behavior
- Societal Responsibilities and Support of Key Communities

STRATEGIC PLANNING (page 10 – Criteria for Performance Excellence)
How do you develop your strategy?
- Strategy Development Process
- Strategic Objectives

How do you develop your strategy?
- Action Plan Development and Deployment
- Performance Projection

CUSTOMER FOCUS (page 13 – Criteria for Performance Excellence)
How do you engage customers to serve their needs and build relationships?
- Product Offerings, and Customer Support
- Building a Customer Culture

How do you obtain and use information from your customers?
- Customer Listening
- Determination of Customer Satisfaction and Engagement
- Analysis and Use of Customer Data

MEASUREMENT, ANALYSIS AND KNOWLEDGE MANAGEMENT (page 16 – Criteria for Performance Excellence)
How do you measure, analyze, and then improve organizational performance?
- Performance Measurement
- Performance Analysis and Review
- Performance Improvement

How do you manage your information, organizational knowledge, and information technology?
- Data, Information, and Knowledge Management
- Management of Information Resources and Technology

<table>
<thead>
<tr>
<th>WORKFORCE FOCUS (page 18 – Criteria for Performance Excellence)</th>
</tr>
</thead>
<tbody>
<tr>
<td>How do you engage your workforce to achieved organizational and personal success?</td>
</tr>
<tr>
<td>• Workforce Enrichment</td>
</tr>
<tr>
<td>• Workforce and Leadership Development</td>
</tr>
<tr>
<td>• Assessment of Workforce Engagement</td>
</tr>
<tr>
<td>How to you build an effective and supportive workforce environment?</td>
</tr>
<tr>
<td>• Workforce Capability and Capacity</td>
</tr>
<tr>
<td>• Workforce Climate</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>OPERATIONS FOCUS (Page 21 – Criteria for Performance Excellence)</th>
</tr>
</thead>
<tbody>
<tr>
<td>How do you design, manage, and improve your work systems?</td>
</tr>
<tr>
<td>• Design Concepts</td>
</tr>
<tr>
<td>• Work System Requirements</td>
</tr>
<tr>
<td>• Work System Implementation</td>
</tr>
<tr>
<td>• Cost Control</td>
</tr>
<tr>
<td>How to you design, manage, and improve your key organizational work processes?</td>
</tr>
<tr>
<td>• Design Concepts</td>
</tr>
<tr>
<td>• Work Process Requirements</td>
</tr>
<tr>
<td>• Key Work Process Implementation</td>
</tr>
<tr>
<td>• Process Improvement</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>RESULTS (page 23 – Criteria for Performance Excellence)</th>
</tr>
</thead>
<tbody>
<tr>
<td>What are your product performance results?</td>
</tr>
<tr>
<td>• Product Results</td>
</tr>
<tr>
<td>What are your customer-focused performance results?</td>
</tr>
<tr>
<td>• Customer-focused results</td>
</tr>
<tr>
<td>What are your financial and marketplace performance results?</td>
</tr>
<tr>
<td>• Financial and Market Results</td>
</tr>
<tr>
<td>What are your workforce-focused performance results?</td>
</tr>
<tr>
<td>• Workforce Results</td>
</tr>
<tr>
<td>What are your process effectiveness results?</td>
</tr>
<tr>
<td>• Process Effectiveness Results</td>
</tr>
<tr>
<td>What are your leadership results?</td>
</tr>
<tr>
<td>• Leadership and Societal Responsibility Results</td>
</tr>
</tbody>
</table>
## CITY OF SACO – EMPLOYEE PERFORMANCE APPRAISAL

### CORE VALUES – Senior Staff

<table>
<thead>
<tr>
<th>Rating Factors</th>
<th>Successful Performance (SP)</th>
<th>Performance Improvement Required (PIR)</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Please refer to the Overall Ratings and Core Value Descriptions for detailed descriptions of each value</td>
<td>SP</td>
<td>PIR</td>
<td>POINTS</td>
</tr>
<tr>
<td>1. Leadership (16 points) (pg. 7)</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>2. Strategic Planning (11 points) (pg. 10)</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>3. Customer Focus (11 points) (pg. 13)</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>4. Measurement, Analysis, and Knowledge Management (12 points) (pg.16)</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>5. Workforce Focus (11 points) (pg.18)</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>6. Operations Focus (11 points) (pg.21)</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>7. Results (59 points) (pg.23)</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>TOTAL POSSIBLE POINTS – 130</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 8. Objectives (3 Major) (2 personal)

<table>
<thead>
<tr>
<th>Objective</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>(13 Points)</td>
</tr>
<tr>
<td>2.</td>
<td>(13 Points)</td>
</tr>
<tr>
<td>3.</td>
<td>(13 Points)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Personal</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>(3 Points)</td>
</tr>
<tr>
<td>2.</td>
<td>(3 Points)</td>
</tr>
</tbody>
</table>

TOTAL POSSIBLE POINTS - 45

### TOTAL POINTS

The Supervisor and the employee shall review all of the Performance Characteristics at the performance evaluation meeting and determine which ones apply to your position. The Performance Characteristics that do not apply will be removed from the scoring process. The total score will be decreased proportionately to recognize that fewer measures are being used. For example, let’s assume that measure 1. Leadership does not apply to the position: 16 points would then reduce the total possible score of 175 to 159.

### Performance Ratings Scoring

<table>
<thead>
<tr>
<th>Performance</th>
<th>Step</th>
<th>Step Points: Full Score</th>
<th>• Proposed Points: Full Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Marginal Performance</td>
<td>0</td>
<td>0-44</td>
<td>0-87 (0-86.5)</td>
</tr>
<tr>
<td>Good Performance</td>
<td>1</td>
<td>145-154</td>
<td>88 – 122 (87.5 -121.5)</td>
</tr>
<tr>
<td>Good to Excellent Performance</td>
<td>2</td>
<td>155-165</td>
<td>123 – 157 (122.5 – 156.5)</td>
</tr>
<tr>
<td>Excellent Performance</td>
<td>3</td>
<td>166-175</td>
<td>158 – 175 (157.5 – 175)</td>
</tr>
</tbody>
</table>

• Proposed Points come from “Process and Results Scoring Guide” Pages 68-69.

### CITY COUNCIL STRATEGIC GOALS

Please refer to the City of Saco Strategic Plan for detailed descriptions of each goal. List of Council Goals (will go here or a link)
EMPLOYEE SELF APPRAISAL

The Employee Self-Appraisal allows the employee the opportunity to provide input into the development of his/her performance appraisal. The employee shall complete the form or indicate No Comments and return it to the employee’s supervisor by ________ (date). The Employee Self-Appraisal form must be attached to the completed Performance Appraisal Form with the exception of Disciplinary Probation Reviews.

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>Review Period</th>
</tr>
</thead>
</table>

**EMPLOYEE SELF-APPRAISAL**

(Boxes below with expand to fit your text)

| Thinking back over the appraisal period, list your significant job related accomplishments. Please include any projects, special assignments, etc. that you think are important. |
| What would you like to accomplish over the next year? Include any professional development goals, interests, or assignments. |
| What assistance do you need from your supervisor/organization to achieve these goals and to meet your job requirements? |
| It is incumbent upon every senior staff member to continuously and actively support the accomplishment of the City Council’s initiatives/objectives through the achievements of their work groups and the actions they take as senior staff in charge of city operations. |

**CITY COUNCIL STRATEGIC GOALS**

Please refer to the Strategic Plan for detailed descriptions of each goal and council objective.

Please comment on your efforts in support of one or more City Council goals/objectives.

Employee’s Signature  Date  No Comments
### Results Scoring Guidelines

<table>
<thead>
<tr>
<th>SCORE</th>
<th>RESULTS (for use with category 7)</th>
</tr>
</thead>
</table>
| 0% or 5%      | - There are no organizational performance results and/or poor results in areas reported. (Le)  
- Trend data either are not reported or show mainly adverse trends. (T)  
- Comparative information is not reported. (C)  
- Results are not reported for any areas of importance to the accomplishment of your organization’s mission. (I)                                                                                                           |
| 10%, 15%, 20%, or 25% | - A few organizational performance results are reported, responsive to the basic requirements of the item, and early good performance levels are evident. (Le)  
- Some trend data are reported, with some adverse trends evident. (T)  
- Little or no comparative information is reported. (C)  
- Results are reported for a few areas of importance to the accomplishment of your organization’s mission. (I)                                                                                                           |
| 30%, 35%, 40%, or 45% | - Good organizational performance levels are reported, responsive to the basic requirements of the item. (Le)  
- Some trend data are reported, and a majority of the trends presented are beneficial. (T)  
- Early stages of obtaining comparative information are evident. (C)  
- Results are reported for many areas of importance to the accomplishment of your organization’s mission. (I)                                                                                                           |
| 50%, 55%, 60%, or 65% | - Good organizational performance levels are reported, responsive to the overall requirements of the item. (Le)  
- Beneficial trends are evident in areas of importance to the accomplishment of your organization’s mission. (T)  
- Some current performance levels have been evaluated against relevant comparisons and/or benchmarks and show areas of good relative performance. (C)  
- Organizational performance results are reported for most key customer, market, and process requirements. (I)                                                                                                           |
| 70%, 75%, 80%, or 85% | - Good to excellent organizational performance levels are reported, responsive to the multiple requirements of the item. (Le)  
- Beneficial trends have been sustained over time in most areas of importance to the accomplishment of your organization’s mission. (T)  
- Many to most trends and current performance levels have been evaluated against relevant comparisons and/or benchmarks and show areas of leadership and very good relative performance. (C)  
- Organizational performance results are reported for most key customer, market, process, and action plan requirements. (I)                                                                                                           |
| 90%, 95%, or 100% | - Excellent organizational performance levels are reported that are fully responsive to the multiple requirements of the item. (Le)  
- Beneficial trends have been sustained over time in all areas of importance to the accomplishment of your organization’s mission. (T)  
- Evidence of industry and benchmark leadership is demonstrated in many areas. (C)  
- Organizational performance results and projections are reported for most key customer, market, process, and action plan requirements. (I)                                                                                                           |
## Process Scoring Guidelines

<table>
<thead>
<tr>
<th>Score</th>
<th>Process (for use with categories 1–6)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0% or 5%</td>
<td>- No systematic approach to item requirements is evident; information is anecdotal (A)</td>
</tr>
<tr>
<td></td>
<td>- Little or no deployment of any systematic approach is evident. (D)</td>
</tr>
<tr>
<td></td>
<td>- An improvement orientation is not evident; improvement is achieved through reacting to problems. (L)</td>
</tr>
<tr>
<td></td>
<td>- No organizational alignment is evident; individual areas or work units operate independently. (I)</td>
</tr>
<tr>
<td>10%, 15%, 20%, or 25%</td>
<td>- The beginning of a systematic approach to the basic requirements of the item is evident. (A)</td>
</tr>
<tr>
<td></td>
<td>- The approach is in the early stages of deployment in most areas or work units, inhibiting progress in achieving the basic requirements of the item. (D)</td>
</tr>
<tr>
<td></td>
<td>- Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L)</td>
</tr>
<tr>
<td></td>
<td>- The approach is aligned with other areas or work units largely through joint problem solving. (I)</td>
</tr>
<tr>
<td>30%, 35%, 40%, or 45%</td>
<td>- An effective, systematic approach, responsive to the basic requirements of the item, is evident. (A)</td>
</tr>
<tr>
<td></td>
<td>- The approach is deployed, although some areas or work units are in early stages of deployment. (D)</td>
</tr>
<tr>
<td></td>
<td>- The beginning of a systematic approach to evaluation and improvement of key processes is evident. (L)</td>
</tr>
<tr>
<td></td>
<td>- The approach is in the early stages of alignment with your basic organizational needs identified in response to the Organizational Profile and other process items. (I)</td>
</tr>
<tr>
<td>50%, 55%, 60%, or 65%</td>
<td>- An effective, systematic approach, responsive to the overall requirements of the item, is evident. (A)</td>
</tr>
<tr>
<td></td>
<td>- The approach is well deployed, although deployment may vary in some areas or work units. (D)</td>
</tr>
<tr>
<td></td>
<td>- A fact-based, systematic evaluation and improvement process and some organizational learning, including innovation, are in place for improving the efficiency and effectiveness of key processes. (L)</td>
</tr>
<tr>
<td></td>
<td>- The approach is aligned with your overall organizational needs identified in response to the Organizational Profile and other process items. (I)</td>
</tr>
<tr>
<td>70%, 75%, 80%, or 85%</td>
<td>- An effective, systematic approach, responsive to the multiple requirements of the item, is evident. (A)</td>
</tr>
<tr>
<td></td>
<td>- The approach is well deployed, with no significant gaps. (D)</td>
</tr>
<tr>
<td></td>
<td>- Fact-based, systematic evaluation and improvement and organizational learning, including innovation, are key management tools; there is clear evidence of refinement as a result of organizational-level analysis and sharing. (L)</td>
</tr>
<tr>
<td></td>
<td>- The approach is integrated with your current and future organizational needs identified in response to the Organizational Profile and other process items. (I)</td>
</tr>
<tr>
<td>90%, 95%, or 100%</td>
<td>- An effective, systematic approach, fully responsive to the multiple requirements of the item, is evident. (A)</td>
</tr>
<tr>
<td></td>
<td>- The approach is fully deployed without significant weaknesses or gaps in any areas or work units. (D)</td>
</tr>
<tr>
<td></td>
<td>- Fact-based, systematic evaluation and improvement and organizational learning through innovation are key organization-wide tools; refinement and innovation, backed by analysis and sharing, are evident throughout the organization. (L)</td>
</tr>
<tr>
<td></td>
<td>- The approach is well integrated with your current and future organizational needs identified in response to the Organizational Profile and other process items. (I)</td>
</tr>
</tbody>
</table>