



**5 P.M. SPECIAL COUNCIL MEETING (Study Session)**  
**Review Performance Evaluation Tools for the City  
Manager and City Attorney**  
**September 30, 2014**

## List of Possible Facilitators

<b>Name / Title</b>	<b>Agency</b>	<b>Contact Information</b>
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**Our Team**

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## Our Team

### Philip E. Berghausen, Jr., Ph.D.

Dr. Philip E. Berghausen, Jr., founder and executive director of the Center for Executive Solutions until 2013, has advised executives about leadership and organizational excellence for more than 25 years. Phil uses his extensive knowledge of the behavioral sciences to assist organizations in enhancing their effectiveness. His practice areas include executive assessment and development, leadership and management training, team effectiveness consultation, and organizational effectiveness enhancement. He applies rigorous, objective analysis to sensitive issues, particularly those involving human performance and safety, which often have the potential for litigation and adverse publicity. He combines broad, practical experience in founding, leading, managing, and advising organizations to serve a wide range of clients including public and investor-owned utilities, governments, academic institutions, and other for-profit and not-for-profit organizations.



Career highlights include having designed and implemented programs that were cited as important in earning a client both the Malcolm Baldrige National Quality Award and designation as one of *Fortune* magazine's "100 Best Companies to Work for in America." He also analyzed human factors and management issues contributing to the Chernobyl incident as an invited delegate to the First International Workshop on Past Severe Accidents and their Consequences.

Prior to founding the Center for Executive Solutions (formerly known as Berghausen Consulting, Inc.), Phil advised clients with regard to personnel selection and organizational development while working for an international management consulting firm. He was also vice president and co-owner of a consulting firm that specialized in pre-employment and fitness-for-duty screening. He has held management and teaching positions at academic institutions and medical centers.

Phil has consulted with client organizations on a broad range of topics designed to enhance individual, team, and overall organizational performance. He also has conducted research and has published and presented papers on such issues as emotional stability screening in the nuclear power generation industry, workplace effectiveness, employee selection, motivation, and ethical use of assessment instruments. His diverse work has been recognized in the popular [press](#).

Phil has served as an examiner for the Malcolm Baldrige National Quality Award and has completed the Leadership Education Program at Harvard's Kennedy School of Government. He also has completed courses pertaining to nuclear technology and executive and organizational effectiveness, including courses offered by MIT and the

- [Andrew Winzelberg, Ph.D.](#), Executive Director
- [Brenda Brownlow, Ph.D.](#), Director
- [Philip E. Berghausen, Jr., Ph.D.](#), Emeritus

#### Affiliates:

- [Peter Hammerschmidt, Ph.D.](#)
- [William C. Horst, Ph.D.](#)
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Center for Creative Leadership. He is a past secretary of the Society of Consulting Psychology and a past chair of the Human Factors Division of the American Nuclear Society. He received his doctoral and master's degrees in Psychology from Colorado State University and his bachelor's degree in Slavic Linguistics and Russian Area Studies from Lawrence University.



## Mary Egan

Partner, Human Resource Services

She is highly skilled at negotiations and workplace investigation, and often uses those skills, along with her considerable experience, when advising her clients regarding employment related risk mitigation, strategic planning and interest-based problem resolution. Mary's specialties are assisting governing boards and government leaders with executive level performance evaluations, organizational problem analysis and skillful resolution, as well as coaching key employers to address deficiencies and maximize organizational impact.

As a Private Investigator licensed by the State of California, Mary has handled hundreds of workplace investigations for both private sector and public employers on all types of employment matters over the last several years, including claims of discrimination, harassment, retaliation, whistle blowing, substance abuse, threats of violence, assault, theft, fraud, violations of company policies, wage and hour violations, and other forms of alleged misconduct. Mary is experienced in testifying during administrative and judicial proceedings regarding completed investigations and provides expert testimony on the adequacy of workplace investigations, human resource practices and public sector employment standards and expectations. She is also qualified as an expert in State Court on the adequacy of investigations.

Mary's commitment to and passion for improving the quality of workplace investigations nationwide is demonstrated by her role with the Association of Workplace Investigators (AWI, formerly, California Association of Workplace Investigators). She is a founding member of AWI, formed in October 2009 and spent four years developing the AWI's published standards for workplace investigations and serving as a faculty member at the Workplace Investigation Institute.

In addition to investigations and expert testimony, Mary facilitates staff retreats, team based problem solving and labor management committees, works with elected boards to define the performance expectations of their key managers, serves as a neutral fact finder in resolution of employer/employee issues.

Prior to joining Municipal Resource Group, Mary held key positions with both the City of Sacramento, where she served in various capacities (1980-1988), and the City of San Jose, where she was the Employee Relations Officer and Chief Negotiator (1988-1993). While with Shannon Associates (1996-2001) Mary managed recruitments for virtually all high-level council and manager appointed executives, as well as complex human resources assessments for large and complex clients. She continued her consulting services with many high profile clients after starting her own firm in 2001, and maintains long-term and consulting relationships with major cities and counties in California. Mary is a recognized expert in municipal government interest arbitration.

In addition to her significant field experience with major clients, Mary earned a Bachelor of Science degree in Applied Behavioral Sciences from the University of California, Davis, where she was named "Outstanding Female Graduate," and a Master of Public Administration (MPA) degree from San Francisco State University. Mary is a founding member of the California Association of Workplace Investigators (CAOWI), participating as Chairperson of the Legislation Committee and member of the Best Practices Committee.

Mary is a frequent presenter at conferences, seminars and meetings of several professional organizations, including the League of California Cities, the International Public Management Association (IPMA), the California Public Employers Labor Relations Association (CALPELRA), the Municipal Management Assistants of Northern California (MMANC), and the California State Association of Counties (CSAC).



## Our Team

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### Nancy Hetrick

#### Senior Manager



Nancy Hetrick has more than 10 years of local government experience as a staff member and as a consultant. She was a performance measurement expert for Management Partners from 1996 to 2001, when she was named principal management analyst in the San Mateo County (California) Manager's Office. In 2006, she returned to Management Partners, working out of its San Jose office.

Nancy has been a trainer for the ICMA Center for Performance Measurement, and has assisted numerous cities and counties in California and Washington with developing performance management systems. During her five years with San Mateo County, she oversaw criminal justice assignments, including budget development and oversight, and was the performance management manager for county departments. In 2006, Nancy was president of the Municipal Management Association of Northern California.

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**R. WILLIAM MATHIS, PH.D.**  
**MANAGEMENT PSYCHOLOGIST**

## **Biographical Summary**

Dr. Mathis holds a Ph.D. in Clinical / Industrial Psychology from the University of North Dakota at Grand Forks, a Master's Degree in Clinical Psychology from the University of Portland in Oregon and a Bachelor's degree in Chemistry / Biology and Psychology from the University of Puget Sound in Tacoma, Washington.

Dr. Mathis is the founder of Mathis Group, and has sole proprietorship. The firm is currently located in Napa, California. The firm provides both general management and clinical consulting services to public and private sectors. High risk, safety, law enforcement and crisis related situations are special niches addressed through the clinical psychologists on staff.

Dr. Mathis is a well-known writer and speaker, whose published well-read articles include "When Council is Unhappy with the City Manager," "What Councils want from their Managers... but do not Tell Them," The Business Journal, "Don't Drop the Ball on Your City Council", "The 7 Symptoms of a Manager in Trouble...", "Public Management. He is well known throughout the United States and is frequently seen in both western and east coast cities. His "whole team" concept of intermingling business consultants with psychologists brings a "value added" concept to his clients.

Dr. Mathis and his firm, Mathis Group, offer a wide variety of services such as:

- City Manager / City Attorney Evaluation
- Team Building / Goal Setting Workshops
- Style Analysis - Individual and Group
- Effective Communications
- Problem Solving and Project Management
- Organization / Department Audits
- Strategic Planning
- Executive Recruitments
- Coaching and Mentoring
- Change Management Strategies
- Personnel Conflicts / Outpatient Services

Mathis Group has been a member of numerous Chambers of Commerce and public organizations including ICMA (International City Managers' Association) California, City Manager's Foundation, National League of Cities and League of California Cities.



## Our Team

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### Jan Perkins

#### Senior Partner



Jan Perkins has 30 years of management experience in local government. Before joining Management Partners in 2005, she served in several California and Michigan jurisdictions, including as city manager in Fremont and Morgan Hill, California. She also served the cities of Santa Ana, California; Grand Rapids, Michigan; and Adrian, Michigan. She provides assistance to government leaders in organizational analysis, leadership development, facilitation, strategic planning, teambuilding,

executive coaching and performance evaluation, workforce and succession planning, and policy board/staff effectiveness. Jan has authored a number of articles, including "Hiring 2.0: 23 Creative Ways to Recruit and Keep Great Staff," which appeared in the January/February 2011 issue of *Public Management* magazine; "Successful Leadership," March 2005, *Public Management* magazine; and "The Value of Going Back to the Basics," co-authored with former Fremont Mayor Gus Morrison, June 2005, *Western City* magazine. Jan is an ICMA Credentialed Manager.

In September 2013, Jan Perkins was recognized by the Kansas University Managers and Trainees Alumni Organization (KUCIMAT) with a Lifetime Achievement Award for extraordinary contributions to the City Management profession during the ICMA Conference. Read more about Jan's accomplishments in the profession [here](#).

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## Our Team

### Andrew Winzelberg, Ph.D.

Dr. Andrew Winzelberg, co-founder and Executive Director of the Center for Executive Solutions, has applied his understanding of human behavior and learning to help organizations maximize workforce productivity since 1996. His practice areas include executive assessment and development, leadership and management training, team effectiveness consultation, and organizational effectiveness enhancement. Andrew has assessed individual and team performance and has created developmental plans for individuals and teams at all levels of an organization. He has worked extensively with nuclear utilities and local governments.



Andrew has developed customized 360-degree assessments with data mining technology that enhances the effectiveness both of individual managers and of organization-wide professional development programs. His knowledge of instructional design and research methodology has helped decision-makers understand complex data. He has developed industry-specific leadership academies and lectures on leadership, teamwork, interpersonal relations, motivation, performance management, and professional development. For several years, Andrew held a research appointment in the School of Medicine at Stanford University. He has taught undergraduate and graduate courses at Stanford University, the University of California, Santa Barbara, and Santa Clara University.

Andrew is internationally known for his research on instructional technology and the use of telecommunications in medical practice (telemedicine). Andrew regularly publishes in the most highly respected psychology and medical journals, and he has presented at numerous scientific conferences worldwide. He serves as an associate editor and peer-reviewer for scientific journals and serves as a scientific reviewer for the National Institute of Health and other granting agencies.

Andrew received his Ph.D. in Counseling Psychology from Stanford University and his B.A. in Economics and Psychology from the University of California, Santa Barbara.

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## **Possible Rating Criteria for City Manager**

### **ICMA**

#### **Elected Body Relationships**

1. Does not surprise Council; all Council members are informed of organization activities, progress, and problems on a regular basis.
2. Is receptive to Council member ideas and suggestions.
3. Makes sound recommendations for Council action.
4. Effectively implements policy decisions of the Council.
5. Facilitates the decision-making process for the Council.
6. Follows up on all problems and issues brought to his or her attention.
7. Is nonpartisan; does not show favoritism.
8. Accepts responsibility.

#### **Organizational**

9. Leads a smooth-running and continuously improving organization.
10. Proposes organizational goals and objectives prior to each fiscal year.
11. Anticipates and plans well in advance.
12. Is progressive in attitude and action.
13. Follows through on set plans and deadlines.
14. Emphasizes development and enhancement of the skills of all employees.
15. Hires and retains competent staff members who know what is expected of them.
16. Delegates effectively.
17. Encourages high staff productivity and demands accountability.

#### **Community Relations**

18. Is appropriately visible and active within the community.
19. Understands and is knowledgeable about the needs of the community.
20. Encourages and honestly considers community input.
21. Requests feedback from the community on the performance of the organization.
22. Provides programs and services that are up to community standards and expectations.

#### **Fiscal Performance**

23. Prepares and presents a long-range financial plan, which is updated as circumstances dictate.
24. Presents balanced annual budgets with programs and service levels clearly identified.
25. Recognizes and manages the budget within fiscal constraints.
26. Displays common sense and good judgment in business transactions.
27. Seeks all available funding sources.
28. Provides accurate and complete financial reports in a timely manner.

## **Possible Rating Criteria for City Manager**

### **Intergovernmental / Agency / Association Relationships**

29. Participates in professional management and leadership organizations.
30. Effectively collaborates, coordinates, and communicates with other communities, regional associations, and similar organizations.

### **Communication**

31. Responds to all requests for information in a timely and thorough manner
32. Speaks and writes clearly.
33. Responds to correspondence, phone calls, and requests for information in a timely and thorough manner.
34. Provides all necessary and required reports and records.
35. Ensures that information of general interest is current and timely, that website is up-to-date, and that available technology is used effectively.
36. Provides details about specific projects to those affected in a timely manner.

### **Personal**

37. Is ethical, honest, and of high integrity.
38. Projects professional demeanor and respect in all interactions.
39. Is cordial and approachable.

## **Alameda**

### **Work Skills and Job Knowledge**

40. Complies with rules and regulations in completing tasks.
41. Possesses sufficient skill and knowledge to perform key components of the job.
42. Updates skills to keep pace with changing technology or other job requirements.
43. Understands departmental mission, role, and operations.
44. Accomplishes objectives in spite of changing situations and circumstances.
45. Relies on available information (e.g. policies, procedures, and regulations) and experience to make decisions.
46. Logically analyzes data/situations, evaluates alternatives, and makes sound decisions.
47. Reports, proposals, and other written materials prepared are clear and concise.

### **Interpersonal Skills**

48. Exhibits patience, professionalism, respect, and understanding when dealing with the public and co-workers. Takes responsibility to resolve issues; does not pass off a customer to team members inappropriately; takes ownership of issues until resolved.
49. Maintains effective relationships and communications with supervisor and co-workers throughout the City. Demonstrates ability to manage conflict even in difficult situations and is both respectful and respected by others. Works well as

## **Possible Rating Criteria for City Manager**

- a team member by helping others and contributing to a cohesive work environment within work group, within department, and between departments.
50. Demonstrates ability to effectively and accurately compose reports, correspondence, and other job related written assignments. Verbally expresses ideas and concepts clearly and concisely, including presentations.
  51. Maintains professional conduct, exhibits courtesy, and provides effective customer service.
  52. Demonstrates commitment to public good, upholds public trust, exercises authority responsibly and impartially.

### **Work Habits**

53. Plans and organizes work to accomplish assigned duties.
54. Maintains a safe and neat work area. Follows the safety practices of the City and department and sets a safe example for others.
55. Works to full capacity, accurately, thoroughly, and effectively. Makes efficient use of resources and completes work in a timely manner. Pays attention to important details.
56. Prioritizes work to maximize results and meet appropriate deadlines.
57. Observes working hours by consistently: arriving to work as scheduled, informing supervisor of any changes in work schedule at earliest convenience, having a reliable attendance record, and planning time off for vacations.
58. Can be relied upon to follow-up and complete tasks.
59. Effectively adapts to day-to-day demands of the job; is able to juggle multiple priorities with minimal supervision.
60. Shows initiative by seeking out new assignments and assuming additional duties when necessary.

### **Leadership Skills**

61. Provides leadership to employees through motivation, delegation, and adherence to City policies.
62. Manages in an effective and efficient manner. Involves employees in work-related problem identification and resolution. Encourages job ownership and personal responsibility. Provides guidance to employees; sets a good example; both commends and disciplines employees in a timely and appropriate manner.
63. Introduces and considers new ideas which may enhance organizational operations. Demonstrates insight, flexibility, and creativity in strategic planning.
64. Develops and applies sound creative fiscal management techniques and prepares responsible and realistic fiscal plans and departmental budgets. Controls expenditures within set budget limits, consistently seeking ways to reduce costs. Develops and maintains performance measures.
65. Independently analyzes situations and makes decisions. Takes initiative to solve problems.

## **Possible Rating Criteria for City Manager**

66. Encourages a culture of continuous learning and is supportive of employee's career goals and objectives. Allows others to develop as leaders at all levels. Completes evaluations on time and uses the evaluation process to support continuous learning.

### **Mountain View**

#### **Relationship with City Council**

67. Is honest and trustworthy.
68. Respects confidences.
69. Is equally available and accessible to all Council members.
70. Does not play favorites -takes direction from Council as a whole.
71. Makes effective and equal communication to each Councilmember a priority.
72. Is open and responsive to constructive criticism of self and staff.

#### **Staff Support to City Council**

73. Provides "complete staff work" to Council.
74. Provides staff recommendations and gives the Council options.
75. Staff reports are presented in a usable and understandable format.
76. Is responsive to Council requests and needs.
77. Provides high level of information to Council relating to City programs, services, issues- keeps them well informed.
78. Assures support to the Council's policy making process.
79. Effectively and consistently carries out Council policy direction.
80. Provides copies of special reports requested by one Councilmember to all Councilmembers.
81. Provides copies of special reports requested by one Councilmember to all Councilmembers.

#### **Relationship with City Employees**

82. Demonstrates care about the welfare and success of staff.
83. Is approachable, accessible and friendly.
84. Works to maintain and improve employee morale.
85. Encourages suggestions and feedback from staff at all levels of the organization.
86. Demonstrates appreciation and praise for good work and efforts.
87. Effectively manages relationship with employee associations and unions.

#### **Leadership to the Organization**

88. Inspires teamwork and cooperation.
89. Provides effective link between staff and City Council.
90. Maintains (and sets a personal example) for high standards of honesty, integrity and trust.
91. Holds staff accountable for results.
92. Delegates sufficiently- while being aware of details.
93. Emphasizes interdepartmental coordination and communication.
94. Provides guidance and direction to staff.
95. Is action and results-oriented - and expects this from staff.
96. Encourages continuous improvement and responsible risk-taking.

## **Possible Rating Criteria for City Manager**

### **Effective Service Delivery**

97. Monitors progress of key organizational goals and reports it to staff and the City Council.
98. Assumes that the organization effectively provides quality services
99. Encourages productivity improvements.
100. Establishes high standards and holds staff accountable for results.
101. Implements the approved Capital Improvement Program, including the effective maintenance of the City's infrastructure.

### **Strategic Issue and Crisis Management**

102. Thinks strategically and develops approaches to complex/difficult issues.
103. Maintains calm, professionalism and confidence during difficult times.
104. Provides good advice and policy options to Council on big issues.
105. Assures adequate public information to the public on significant issues.

### **Customer Service and Communication with the Public**

106. Engenders customer satisfaction/service as a fundamental value in the organization.
107. Provides a high level of public information regarding City programs and services
108. Encourages citizen feedback and acts on this information.
109. Is accessible to the public and effectively communicates to members of the public.
110. Ensures quick follow-up and resolution to citizen complaints and requests for service.
111. Can communicate effectively and clearly in writing.
112. Maintains effective working relationships with community groups/organizations.
113. Deals efficiently with the media and represents the City well in this medium.
114. Is able to make effective public presentations.

### **Innovation and Creativity**

115. Encourages innovation and creativity and responsible risk-taking.
116. Is able to provide solutions/alternatives regarding complex issues and problems.
117. Introduces new ideas and concepts.
118. Exercises leadership in identifying new methods and best practices.
119. Encourages education and professional development to stay current on new methods and technology.

### **Financial Management**

120. Recommends policies, practices and strategies to ensure long-term financial health.
121. Provides oversight and guidance in financial matters.
122. Provides for high-quality annual budget and Capital Improvement Program processes.
123. Recommends a reasonable and balanced annual budget and Capital Improvement Program.
124. Keeps Council informed regarding overall financial condition and key issues.

## **Possible Rating Criteria for City Manager**

### **Intergovernmental Relations**

- 125. Effectively represents the city with outside agencies.
- 126. Contributes to regional cooperation and the resolution of regional issues.
- 127. Serves on regional boards/committees as required.
- 128. Maintains effective and cooperative relationship with local cities and other governmental agencies.
- 129. Provides leadership and coordination of intergovernmental relations program.

### **Other Personal Characteristics**

- 130. Is a person of high integrity, honesty and trustworthiness.
- 131. Has a well-regarded professional reputation.
- 132. Friendly, personable, approachable.
- 133. Is committed to personal professional development.
- 134. Demonstrates leadership.
- 135. Has a high energy-level and work ethic.
- 136. Is optimistic, enthusiastic, idealistic and cooperative.

## **Redwood City**

### **Leadership**

- 137. Provides sound organizational leadership by providing vision and purpose for the organization; role models City's values and is approachable to staff and community members; communicates effectively and is well-versed on municipal affairs; aligns staff and financial resources with Council priorities and the needs of the community.

### **Credibility**

- 138. Holds self and staff to highest standards; is candid and up-front in dealing with issues and people; is viewed as trustworthy, ethical and a credible representative of the City.

### **Accountability/Service Delivery**

- 139. Holds self and staff accountable for decisions and expected outcomes of the City Council and community; creates an organizational culture of customer service and commitment to exceptional service; makes difficult decisions when needed and insures staff meets expectations.

### **Staff Development**

- 140. Encourages and provides resources for staff development and training to increase organizational effectiveness and commitment. Promotes skill and competency advancement and challenges staff to look for creative and innovative methods to deliver municipal services. Continually analyzes workforce demographics and competencies to strategically plan workforce development.

### **Personal Development**

- 141. Leads by example and develops own skills as leader and City Manager. Seeks out expertise of leadership coaches and/or consultants to enhance effectiveness as organizational leader. Assesses own skills and has awareness of self and areas for further development.

## **Possible Rating Criteria for City Manager**

### **Execution of Council Priorities**

142. Ensures organization is aligned with Council priorities and moving priorities forward as directed by Council. Updates council and staff on status of priorities and develops plans and strategies to bring Council priorities to fruition.

### **San Jose**

#### **Significant Accomplishments/Results**

143. What significant accomplishments/results have you achieved in the past year?

Examples of significant accomplishments/results could include:

- significantly improved internal/external customer service quantity or quality at the same or lower cost (e.g., through the use of technology, adoption of improved/more efficient procedures, staff training, innovative initiatives, etc.);
- identifying significant one-time or ongoing savings;
- significant policy development accomplishments;
- major capital projects completed or milestones reached;
- major negotiations undertaken and/or completed;
- major strategic planning initiatives undertaken and/or completed;
- major new services initiated; and
- any other significant accomplishments/results going above and beyond the normal expectations of your position.

For each accomplishment/result, please provide the following information:

- a brief description of the accomplishment/result;
- a brief explanation of the actual/expected outcome(s) and benefits.

#### **Budget and Service Delivery Performance**

144. How have you managed your department's/the Agency's budget to assure that:

- Services are provided at the level and quantity provided for in the budget?
- Expenditures are within budgetary constraints?
- Savings are attempted without service reductions?

#### **Unusual Circumstances (Information Only-Not for Rating)**

145. Please describe any unusual or extenuating circumstances that have influenced your ability to perform your duties over the past year (e.g., additional significant assignments, high public interests in specific projects, overcoming the loss of key personnel, etc.).

#### **Managerial Effectiveness**

146. Please discuss how you achieved your results. How have you improved your organization over the past year? Examples of topics to discuss in this area include:

- customer service initiatives;
- examples of leadership you have provided,
- innovations you have initiated or completed;
- strategic planning initiatives started or completed;
- the quality of your communications with the public and City staff; and



## **Possible Rating Criteria for City Manager**

- examples of your ability to support and secure the support of other Council appointees to complete interdepartmental projects and activities and/or to implement interdepartmental services, recommendations or policies.

147. What have you done in the past year to enhance your professional skills, knowledge and capabilities?
148. What have you done to encourage your staff to improve its professional skills, knowledge and capabilities?
149. Please note any significant awards or other recognition you or your organization received in the past two years.

### **Achievement Plan Results Not Accomplished**

150. What major goals in your Achievement Plan were not accomplished and why?

### **Council Relations**

151. Please give significant examples of how responsive you believe you have been to Council requests for information and constituent resolution.
152. Have you kept the Council informed of key issues, developments or trends so that Council may take timely action or avoid adverse impacts? Please provide examples.
153. Have reports to Council from your department been prepared and ready for presentation as originally scheduled at least 50% of the time? If not, please provide an explanation.

### **Current Year Achievement Plan (Information Only)**

154. Please prepare an achievement plan outlining any special projects or significant activities the City organization under your authority plans to focus on in the current year. The achievement plan may not exceed three pages.

### **Special Projects and Significant Activities**

155. Special projects or significant activities are *major one-time items* that will require significant City organization resources in the upcoming year and are in addition to projects, programs, and activities routinely undertaken as part of ongoing responsibilities. These items would normally be initiated and concluded in the same fiscal year but multiyear projects and activities can be listed if there are significant milestones that will be achieved in the current fiscal year. Examples of special projects or significant activities would include such items as:
- major items identified for study or action by Council;
  - major capital projects;
  - projects or activities related to: 1) ensuring City compliance with federal or state laws and mandates; 2) the prevention of avoidance of litigation; and/or 3) the litigation of specific issues;
  - major interdepartmental projects leading to improved customer service and/or budget savings
  - the initiation of significant new services;
  - major negotiations;
  - significant research, studies or audits that will lead to new services or facilities and/or significant budget savings; or

## **Possible Rating Criteria for City Manager**

- major strategic planning initiatives.

156. For each major project or significant activity, at minimum, please provide the following information:

- A short description of the project or activity.
- The purpose, anticipated outcome and/or benefits of the project (e.g., improving customer serving by reducing customer wait time by 10%; a facility that will extend or improve customer service to X number of residents; a program that will achieve the same service at X% lower cost, etc.).
- When the project or activity will be completed or what major milestone will be achieved in the current fiscal year.

### **Professional Development**

157. Please identify any professional growth or training objectives you will pursue in current fiscal year for your staff or yourself.

## **San Leandro**

### **Progress on City Council Goals**

- 158. Place the City on firm foundation for long term fiscal sustainability.
- 159. Work with community and stakeholders to complete projects/programs for sustainable economic development.
- 160. Provide quality public safety services in partnership with the community.
- 161. Maintain and enhance City Infrastructure.
- 162. Support and promote quality of life to enhance community pride.
- 163. Maintain and support strong relationships with School Districts.

### **General Administration**

- 164. Management of the organization.
- 165. Execution of policy.
- 166. Financial management.
- 167. Community Relations.
- 168. Ethics and legal compliance.
- 169. Council and organization communication.
- 170. Issue management and judgment.
- 171. Innovation and implementation.
- 172. Collaboration.
- 173. Succession Planning and organizational development.
- 174. Responsiveness and quality of work.

## **Possible Rating Criteria for City Manager**

### **Sunnyvale (2011 Review)**

#### **Providing Information**

The City Manager provides information which is:

175. Detailed and reliable.
176. Explained in a thorough manner and includes alternatives or recommendations.
177. Timely.
178. Helpful in preventing trivial administrative matters from being reviewed by the Council.
179. Helpful and adequate to assist City Council in making sound decisions.

The City Manager:

180. Provides members of City Council with the opportunity to set long-term organizational goals and to establish the future direction of City policy.
181. Keeps City Council informed, in a timely manner, of the things Council wants to know.
182. Keeps City Council well informed with concise written and oral communications.
183. Provides City Council members with information on an equal basis.
184. Informs the City Council of administrative developments.
185. Follows up in a timely manner on City Council requests for information or action.

#### **Providing Advice**

The City Manager:

186. Has adequate knowledge of municipal affairs including the City's laws and ordinances.
187. Considers alternatives before making recommendations.
188. Plans ahead, anticipates needs and recognizes potential problems.
189. Has a good sense of timing in bringing issues to the Council for action.

#### **Implementation of Council Policies**

The City Manager is effective in the following areas:

190. Carrying out Council directives.
191. Assigning work so that it is performed efficiently and effectively.
192. Paying sufficient attention to detail to avoid error or things "slipping through the cracks."
193. Analyzing problems or issues and identify causes, reason, and implications.
194. Accurately interpreting the direction given by Council.
195. Carrying out the directives of Council as a whole rather than those of any one Council member, but recognizes the concerns of the minority.
196. Supporting the actions of the City Council after a decision is made.
197. Assuming responsibility for staff performance.
198. Providing members of City Council with periodic status reports on projects or tasks which may overlap months or years in implementation.
199. Insuring that the management staff maintains normal service delivery operations as well as the flexibility to manage emergency situations.

## **Possible Rating Criteria for City Manager**

### **Financial Management**

Are you satisfied with the City Manager's:

200. Approach to budget preparation and review?
201. Use of standard financial management procedures to meet Council's policy guidelines?
202. Implementation of Council's policy regarding the expenditure of budgeted funds?
203. Cost control through economical use of labor, materials, and equipment?
204. Information on the financial status of City government?
205. Use of available funds and his ability to operate the City efficiently and effectively?
206. Knowledge of financial matters?
207. Information pertaining to long or short-term financing for capital projects or equipment purchases?
208. Information on opportunities for federal and state grant funding?

### **Personnel Management**

The City Manager is:

209. Successful in guiding people as a team toward common objectives.
210. Effective in selecting qualified and highly competent staff members.
211. Effective in maintaining professional relationships with Department Directors.
212. Effective in assuring that staff members make a positive impression on citizens.

The City Manager:

213. Insures that the City's personnel policies and practices are administered by City Department Directors and management staff in an equitable manner.
214. Develops and motivates employees so that they are increasingly effective.
215. Addresses disciplinary problems and takes action when warranted.
216. Monitors performance of employees and initiates corrective action as needed.

### **Citizen Relations**

The City Manager:

217. Makes a positive impression on citizens and is respected in the City of Sunnyvale.
218. Has appropriate visibility or identity in the community.
219. Assists the Council in resolving problems at the administrative level to avoid unnecessary Council action.
220. Willing to meet with members of the community and discuss issues of concern.
221. Skillful with the news media, avoiding political positions and partisanship.
222. Provides information to the public in a timely fashion on matters which will cause public reaction.
223. Represents Council positions and policies accurately and effectively.
224. Thinks and acts in a manner reflecting an attitude that client (Council, staff or citizens) perceptions and satisfactions are important.
225. Responds completely and in a timely manner to citizen complaints.

## **Possible Rating Criteria for City Manager**

### **Intergovernmental Relations**

The City Manager is:

- 226. Effective representing the City's interests in dealing with other agencies.
- 227. Participative in enough intergovernmental activity to have an impact on behalf of the City.
- 228. Cooperative with the county, state, and federal governments.

### **Communications**

With regard to communications, the City Manager is:

- 229. Easy to talk to and a good listener.
- 230. Thoughtful, clear and to the point.
- 231. Sensitive to the concerns of others.
- 232. Candid and forthright in discussing City business matters with members of City Council.

### **Management Style**

The City Manager:

- 233. Demonstrates interest and enthusiasm in performing his duties.
- 234. Commands respect and good performance from staff.
- 235. Shows initiative and creativity in dealing with issues, problems and unusual situations.
- 236. Is open to new ideas and suggestions for change.
- 237. Works well under pressure.
- 238. Consistently puts aside personal views and implements Council policy and direction.
- 239. Displays the ability to resolve the numerous conflicts inherent in municipal government.
- 240. Responds well to a changing world and local conditions; is adaptive.
- 241. Is accessible to City Council members.
- 242. Conforms to the high standards of the profession; follows the "ICMA Code of Ethics."
- 243. Exhibits a commitment to continuing education in order to encourage his professional development.
- 244. Is receptive to constructive criticism and advice.

### **Job Effectiveness**

The City Manager:

- 245. Demonstrates interest and enthusiasm about the Council's Vision for the City.
- 246. Gives his staff the tools necessary to provide efficient, responsive City services.
- 247. Coordinates the implementation of City goals and objectives.
- 248. Supports policies that will promote annexation and growth in the City of Sunnyvale.
- 249. Creates a positive atmosphere for successful economic development in the City.
- 250. Supports responsible infrastructure expansion and maintenance.
- 251. Emphasizes the need for employee training and technological improvements.

## **Possible Rating Criteria for City Manager**

### **Narratives**

- 252. What were the City Manager's most notable accomplishments during the past year?
- 253. Which of the City Manager's qualities were most instrumental in fulfilling the role of City Manager this past year?

### **Performance Objectives for Coming Year**

- 254. What does the City Manager do that you would like him to continue?
- 255. Is there anything that the City Manager does that you would like him to do differently?
- 256. In what areas should the City Manager focus his attention in the coming year?
- 257. Do you have any other general comments to share with the City Manager?

### **Performance Goals**

- 258. Planning and organization.
- 259. Proactive in recommending and carrying out Council Policies (Initiative).
- 260. Council priorities list (results/accomplishments).

### **Leadership**

- 261. Provides direction or flexibility appropriately, depending upon circumstances.
- 262. Is a positive role model for City staff.
- 263. Maintains good staff relations.
- 264. Avoids conflicts of interest - trustworthy.

### **Communications**

- 265. Written
  - a. Provides appropriate information in a timely manner sufficient to keep Council informed.
  - b. Follows through with commitments.
- 266. Verbal
  - a. Provides appropriate information in a timely manner sufficient to keep Council informed.
  - b. Follows through with commitments.

### **Customer Service**

- 267. Promotes an organizational culture of responsiveness and customer satisfaction.
- 268. Personally responsive to citizen complaints.
- 269. Deals diplomatically with angry or dissatisfied citizens.

## **Possible Rating Criteria for City Manager**

### **Council Relations**

- 270. No surprises. Informs Council Members of important events in the community prior to information becoming public knowledge.
- 271. Balances information and attention among all Council Members equally.
- 272. Training of new Council Members. Assists new Council Members.

### **Intergovernmental Relations**

- 273. Participates in meetings of the Santa Clara County City Manager's Association.
- 274. Meets with CEO's of organizations in the community on a regular basis.
- 275. Maintains regular contact with the Elected County and State officials and staff to represent the City's interests.
- 276. League of Cities and West Valley Mayors and Managers.

### **Management**

- 277. Technical competency.
- 278. Delegation.
- 279. Accountability-Management team and myself.
- 280. Promotes teamwork among staff.
- 281. Supports and promotes best practices.
- 282. Succession planning.

### **Financial**

- 283. Presents balanced budget.
- 284. Meets budget targets.

### **Goals for the Coming Year**

- 285. List the goals you would like the City Manager to achieve in the coming year.

### **Sunnyvale (2010 Review)**

#### **Personnel Development**

- 286. Appoints and trains effective department managers.
- 287. Retains excellent staff.

#### **Supervision**

- 288. Directs staff and controls their efforts.
- 289. Encourages initiatives.
- 290. Is available to employees for guidance.
- 291. Evaluates personnel and suggests ways for them to improve.

## **Possible Rating Criteria for City Manager**

### **Execution of Policy**

- 292. Understands and complies with the overall policy and philosophy of the organization and the City Council.
- 293. Efforts lead to successful accomplishments of goals.
- 294. Measures results against goals and takes corrective action.

### **Planning**

- 295. Understands the City's policies, objectives, and practices.
- 296. Translates these into specific programs.

### **Leadership**

- 297. Motivates others to maximum performance.
- 298. Is demanding but fair.
- 299. Gets enthusiastic responses to new ideas and needed reorganizations.

### **Job Organization**

- 300. Delegates responsibility but handles City Manager responsibilities efficiently.
- 301. Uses time productively.
- 302. Programs activities in an orderly and systematic way.

### **Communication**

- 303. Keeps the City Council informed.
- 304. Presents thoughts in an orderly, understandable manner.
- 305. Written correspondence is clear, concise, and accurate representation of City Council policy.

### **Community Reputation**

- 306. The general attitude of the community toward the Manager
- 307. Regarded as a person of high integrity, ability, and devotion to the City.

### **Professional Reputation**

- 308. Respected by others in the profession.
- 309. Deals effectively with other City Managers.
- 310. Is respected by other professional and staff representatives of adjacent cities and the County.

### **Intergovernmental Relations**

- 311. Works closely with other Federal, State and local government representatives.
- 312. Provides requested assistance to other adjacent cities and the County.



## **Possible Rating Criteria for City Manager**

### **Community Relations**

- 313. Skilled in representing the City before the media, community, organizations, etc.
- 314. Shows an honest interest in the community.
- 315. Properly advocates for the City and its reputation.

### **Imagination**

- 316. Shows originality in approaching problems.
- 317. Creates effective solutions.
- 318. Is able to visualize the implications of various approaches.

### **Objectivity**

- 319. Is unbiased.
- 320. Takes a reasonable and rational viewpoint based on facts and qualified opinions.

### **Drive**

- 321. Is energetic, willing to spend whatever time is necessary to do a good job.
- 322. Has mental and physical stamina.

### **Decisiveness**

- 323. Is able to reach timely decisions and initiate action, but not be compulsive.

### **Attitude**

- 324. Is enthusiastic, cooperative, and adaptive.

### **Firmness**

- 325. Has the courage of his convictions.
- 326. Is firm when convinced, but not stubborn.

### **Emotional Stability**

- 327. Is steady and reliable.
- 328. Does not become rattled under pressure - thinks clearly in pressure situations.
- 329. Controls emotions in difficult situations so that performance is not affected.

### **Personal Appearance**

- 330. Is well groomed and provides a professional and representative appearance for the City.

## **Possible Rating Criteria for City Manager**

### **Loyalty**

- 331. Genuine interest in work, job, and the City.
- 332. Willing to do more than is expected.
- 333. Concerned with the City's image and reputation.

### **Summary Evaluation**

- 334. State the City Manager's overall performance and include an assessment of accomplishments in achieving the goals and objectives established at the beginning of the review period.

### **Performance Expectations**

- 335. State specific requirements and time frame expectations.

### **BARS by Fran Rees**

#### Dimensions:

#### 336. Goals and Objectives

- a. There is a lack of commonly understood goals and objectives.
- b. The team members understand and agree on goals and objectives.

#### 337. Utilization of Resources

- a. All resources of team members are not fully recognized or utilized.
- b. The resources of all team members are fully recognized and utilized.

#### 338. Trust and Conflict Resolution

- a. There is little trust among team members, and conflict is evident.
- b. There is high trust among team members and conflict is dealt with openly and worked through.

#### 339. Leadership

- a. One person dominates, and team-leadership roles are not carried out or shared.
- b. There is full participation in leadership: Leadership roles are shared with team.

#### 340. Control and Procedures

- a. There is little control, and there is a lack of procedures to guide team functioning.
- b. There are effective procedures to guide team functioning; team members support these procedures and regulate themselves.

#### 341. Interpersonal Communications

- a. Communications between team members are closed and guarded.
- b. Communications between team members are open and participative.

## **Possible Rating Criteria for City Manager**

### 342. Problem Solving and Decision Making

- a. The team has no agreed upon approaches to problem solving and decision making.
- b. The team has well-established and agreed upon approaches to problem solving and decision making.

### 343. Experimentation and Creativity

- a. The team is rigid and does not experiment with how things are done.
- b. The team experiments with different ways of doing things and is creative in its approach.

### 344. Evaluation

- a. The team never evaluates its functioning process.
- b. The team often evaluates its functioning and process.

## Possible Rating Scale for City Manager

### ICMA

Appraisal of Performance:

1= Exceptional; 2= Exceeds Expectations; 3= Meets Expectations; 4=Below Expectations.

*Explain and support your rating—whether 1, 2, 3, or 4—and support it with specific examples*

### ALAMEDA

- 5 Outstanding** – Continually performs above the highest standards and expectations for the position. Performance is of a superior nature with minimal supervision.
- 4 Exceeds Expectations** – Employee must have demonstrated their own initiative to go beyond what is expected with minimal supervision.
- 3 Meets Expectations** – Performance is consistently within expectations and requirements of the position with normal supervision. Level of performance is competent and effective.
- 2 Needs Improvement** – Results are periodically below expectations and improvement is needed to function at an acceptable level. Performance at times does not meet requirements of the position.
- 1 Unsatisfactory** – Employee frequently fails to meet the minimum expectation of quality. Immediate action needs to be taken to prevent disciplinary action.

### MOUNTAIN VIEW

The following areas of performance are considered when evaluating Council-appointed officials. Incumbents are rated on a scale of 1 through 5 as follows:

5 = Exceptional:	Exceeds standards on a consistent basis
4 = Highly competent:	Generally exceeds standards and requirements
3 = Competent:	Expected performance level
2 =Needs Improvement:	Does not consistently meet standards
1 =Poor:	Consistently deficient in meeting most standards

## Possible Rating Scale for City Manager

### REDWOOD CITY

Performance Ratings: On a scale of 0 to 5 (5 being highest), please rate performance over the past year on each of the primary performance dimensions below, by circling one number – or “N/S” for not sure.

**Rating:**     0     1     2     3     4     5     N/S

### SAN JOSE

Possible Evaluation Determinations for Each Part:

Outstanding: 90-100; Superior: 80-89; Satisfactory: 70-79; Needs Improvement: 60-69; Unsatisfactory: 50-59

Rating	Score	Comments
Outstanding	90-100 points	Consistently exceeds and/or far exceeds the work standards, goals, objectives or expectations of the position.
Superior	80-89 points	Usually exceeds the work standards, goals, objectives or expectations of the position.
Satisfactory	70-79 points	Meets the work standards, goals, objectives or expectations of the position in a timely manner.
Needs Improvement	60-69 points	Sometimes does not meet the work standards, goals, objectives or expectations of the position (less than 25% of the time).
Unsatisfactory	50-59 points	Often does not meet the work standards, goals, objectives or expectations of the position (more than 25% of the time).

### SAN LEANDRO

- 5 – Outstanding
- 4 – Good
- 3 – Fair
- 2 – Needs Improvement
- 1 – Poor

## Possible Rating Scale for City Manager

### SUNNYVALE (2011 REVIEW)

#### Rating of Past Performance

The performance of the City Attorney is to be rated by circling the appropriate number for each characteristic of performance indicated. Each characteristic has three (3) levels of evaluation available as follows:

Rating Scale
1 = Exceeds Standard
2 = Meets Standard
3 = Does Not Meet Standard

The characteristics are grouped with an overall rating for the group using the same number system provided above. At the end of the section is an overall rating for the performance of the City Attorney which is to encompass all the characteristics and groupings.

### SUNNYVALE (2010 REVIEW)

1. Unsatisfactory: Performance does not meet job requirements.
2. Improvement needed: Performance partially meets requirements of job.
3. Satisfactory: Performance adequately meets job requirements.
4. Exceptional: Performance is excellent. Exceeding job requirements.

### Effective Team Assessment (BARS by Fran Rees)

Instructions: Rate your team on each of the nine dimensions, using a scale of one to seven, to indicate your Assessment of your team and the way it functions. Circle the number on each scale that you feel is most descriptive of your team.

1                      2                      3                      4                      5                      6                      7

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# **Possible Rating Criteria for City Attorney**

## **ICMA**

### **Elected Body Relationships**

1. Does not surprise Council; all Council members are informed of organization activities, progress, and problems on a regular basis.
2. Is receptive to Council member ideas and suggestions.
3. Makes sound recommendations for Council action.
4. Effectively implements policy decisions of the Council.
5. Facilitates the decision-making process for the Council.
6. Follows up on all problems and issues brought to his or her attention.
7. Is nonpartisan; does not show favoritism.
8. Accepts responsibility.

### **Organizational**

9. Leads a smooth-running and continuously improving organization.
10. Proposes organizational goals and objectives prior to each fiscal year.
11. Anticipates and plans well in advance.
12. Is progressive in attitude and action.
13. Follows through on set plans and deadlines.
14. Emphasizes development and enhancement of the skills of all employees.
15. Hires and retains competent staff members who know what is expected of them.
16. Delegates effectively.
17. Encourages high staff productivity and demands accountability.

### **Community Relations**

18. Is appropriately visible and active within the community.
19. Understands and is knowledgeable about the needs of the community.
20. Encourages and honestly considers community input.
21. Requests feedback from the community on the performance of the organization.
22. Provides programs and services that are up to community standards and expectations.

### **Fiscal Performance**

23. Prepares and presents a long-range financial plan, which is updated as circumstances dictate.
24. Presents balanced annual budgets with programs and service levels clearly identified.
25. Recognizes and manages the budget within fiscal constraints.
26. Displays common sense and good judgment in business transactions.

## **Possible Rating Criteria for City Attorney**

27. Seeks all available funding sources.
28. Provides accurate and complete financial reports in a timely manner.

### **Intergovernmental / Agency / Association Relationships**

29. Participates in professional management and leadership organizations.
30. Effectively collaborates, coordinates, and communicates with other communities, regional associations, and similar organizations.

### **Communication**

31. Responds to all requests for information in a timely and thorough manner.
32. Speaks and writes clearly.
33. Responds to correspondence, phone calls, and requests for information in a timely and thorough manner.
34. Provides all necessary and required reports and records.
35. Ensures that information of general interest is current and timely, that website is up-to-date, and that available technology is used effectively.
36. Provides details about specific projects to those affected in a timely manner.

### **Personal**

37. Is ethical, honest, and of high integrity.
38. Projects professional demeanor and respect in all interactions.
39. Is cordial and approachable.

## **Alameda**

### **Work Skills and Job Knowledge**

40. Complies with rules and regulations in completing tasks.
41. Possesses sufficient skill and knowledge to perform key components of the job.
42. Updates skills to keep pace with changing technology or other job requirements.
43. Understands departmental mission, role, and operations.
44. Accomplishes objectives in spite of changing situations and circumstances.
45. Relies on available information (e.g. policies, procedures, and regulations) and experience to make decisions.
46. Logically analyzes data/situations, evaluates alternatives, and makes sound decisions.
47. Reports, proposals, and other written materials prepared are clear and concise.



## **Possible Rating Criteria for City Attorney**

### **Interpersonal Skills**

48. Exhibits patience, professionalism, respect, and understanding when dealing with the public and co-workers. Takes responsibility to resolve issues; does not pass off a customer to team members inappropriately; takes ownership of issues until resolved.
49. Maintains effective relationships and communications with supervisor and co-workers throughout the City. Demonstrates ability to manage conflict even in difficult situations and is both respectful and respected by others. Works well as a team member by helping others and contributing to a cohesive work environment within work group, within department, and between departments.
50. Demonstrates ability to effectively and accurately compose reports, correspondence, and other job related written assignments. Verbally expresses ideas and concepts clearly and concisely, including presentations.
51. Maintains professional conduct, exhibits courtesy, and provides effective customer service.
52. Demonstrates commitment to public good, upholds public trust, exercises authority responsibly and impartially.

### **Work Habits**

53. Plans and organizes work to accomplish assigned duties.
54. Maintains a safe and neat work area. Follows the safety practices of the City and department and sets a safe example for others.
55. Works to full capacity, accurately, thoroughly, and effectively. Makes efficient use of resources and completes work in a timely manner. Pays attention to important details.
56. Prioritizes work to maximize results and meet appropriate deadlines.
57. Observes working hours by consistently: arriving to work as scheduled, informing supervisor of any changes in work schedule at earliest convenience, having a reliable attendance record, and planning time off for vacations.
58. Can be relied upon to follow-up and complete tasks.
59. Effectively adapts to day-to-day demands of the job; is able to juggle multiple priorities with minimal supervision.
60. Shows initiative by seeking out new assignments and assuming additional duties when necessary.

### **Leadership Skills**

61. Provides leadership to employees through motivation, delegation, and adherence to City policies.

## **Possible Rating Criteria for City Attorney**

62. Manages in an effective and efficient manner. Involves employees in work-related problem identification and resolution. Encourages job ownership and personal responsibility. Provides guidance to employees; sets a good example; both commends and disciplines employees in a timely and appropriate manner.
63. Introduces and considers new ideas which may enhance organizational operations. Demonstrates insight, flexibility, and creativity in strategic planning.
64. Develops and applies sound creative fiscal management techniques and prepares responsible and realistic fiscal plans and departmental budgets. Controls expenditures within set budget limits, consistently seeking ways to reduce costs. Develops and maintains performance measures.
65. Independently analyzes situations and makes decisions. Takes initiative to solve problems.
66. Encourages a culture of continuous learning and is supportive of employee's career goals and objectives. Allows others to develop as leaders at all levels. Completes evaluations on time and uses the evaluation process to support continuous learning.

### **Menlo Park**

#### **Provision of Legal Services**

67. Provides competent legal advice in a constructive, results oriented and useful manner.
68. Capably represents the City's interest, as determined by the City Council, in litigation, administrative hearings, negotiations and similar proceedings.
69. Prepares ordinances, resolutions, contracts and other legal documents to best reflect and implement the purposes for which they are intended.
70. Enforces City ordinances and codes in an effective manner, which reflects the City's primary goal of achieving compliance.
71. Keeps City Council and staff apprised of court rulings and legislation affecting legal interest of the City.
72. Performs all services in a manner consistent with the highest standards of professional conduct and with the responsibilities of the office of the City Attorney.
73. Provides cost effective services: use of billed time, coordination.
74. Has legal advice provided by the City Attorney proven to be accurate and technically correct?
75. Does the City Attorney provide his best and honest recommendations given all existing legal issues and ramifications?
76. Does the City Attorney possess and provide an efficient and effective knowledge of the City's Municipal Code and regulations?

## **Possible Rating Criteria for City Attorney**

77. Does the City Attorney possess and provide an efficient and effective knowledge of other government regulations and case law regarding municipal government and issues facing the City?
78. Does advice provided by the City Attorney regularly take into account and balance the overall goals and objectives of the City?
79. Does the City Attorney regularly provide the scope of legal expertise necessary to meet the City's needs on issues that arise, either from himself, within his firm or other available resources?
80. Does the City Attorney proactively identify potential issues when he is aware of them to avoid problems from occurring?
81. Are alternatives and innovative solutions provided rather than just raising problems?
82. Is the City Attorney able to maintain the City Council's and staffs confidence while informing them of the different legal risks that proposed actions might generate?
83. Are the City Attorney's estimates of legal impacts reasonably accurate on a regular basis?

### **General Management**

84. Manages the operations of the legal department in an effective manner with emphasis on interdepartmental coordination and service levels.
85. Maintains effective communications with appropriate clients within the City.
86. Demonstrates customer service and enhances City values.
87. Budget preparation and management with established administrative procedures in coordination with City Manager.
88. Is the City Attorney's approach effective in achieving the best possible legal outcomes for the City's interests given the issues that arise?
89. Is the City Attorney impartial and objective in his duties and responsibilities?

### **Major Work Assignments and Job Responsibilities**

90. Provides appropriate level of legal assistance and staffing to the City Council, Staff, Boards and Commissions as necessary for formulation and implementation of legislative policies and projects.
91. Special Projects.
92. Does the City Attorney prepare ordinances, resolutions, contracts and other legal work accurately and consistent with the direction and objectives communicated by the City Council, City Manager and/or department directors?
93. Does the City Attorney accurately identify and address all legal issues within documents and items that he reviews?
94. Does the City Attorney maintain good working relationships and serve as an effective member of the management team?

## **Possible Rating Criteria for City Attorney**

95. Are staff and the City Council advised of key changes in municipal law as it pertains to the City's activities?
96. Does the City Attorney display a positive attitude in carrying out his responsibilities and responding to requests?
97. Has the City Attorney been successful in accomplishing objectives previously established.
98. Are regular legal activities achieved within budgetary goals and limits?
99. Has the City Attorney been effective in minimizing legal costs by limiting tasks to those regarding legal issues and utilizing City in-house staff when possible to perform administrative and other functions?
100. Are standard forms developed and used where possible to minimize preparation of legal documentation?
101. Are legal tasks performed with appropriate authorization according to established procedures and contract requirements?
102. Do invoices accurately identify tasks and expenses in sufficient detail to provide accountability and cost control?
103. Does the City Attorney display the ability and knowledge to research issues in a minimum amount of time?
104. Have legal costs been effectively managed and controlled given the issues, assignments and requests made to the City Attorney?

### **Council Relations**

105. Maintains effective communications, both verbal and written, with the City Council.
106. Maintains appropriate availability to Council, personally and through designated subordinates.
107. Provides prompt response to Council inquiries.
108. Maintains a professional, objective and unbiased relation with the City Council.
109. Maintains a confidence of Council in objectivity and professional competence of City Attorney, and carries out Council policies in a professional manner.
110. Maintains consistency of opinions between attorneys and his/her own opinions.
111. Does the City Attorney aggressively represent the interests of the City as directed by the City Council?
112. Are requested legal work and assignments completed in a timely manner within established time frames?
113. Is the City Attorney accessible when needed to respond to requests for legal information and assistance?
114. Are legal review and requests for information completed in time to avoid delays to City projects, programs and other tasks?
115. Does the City Attorney follow-up effectively to requests that are made?
116. Does the City Attorney accurately interpret and clarify City Council and City Manager direction?

## **Possible Rating Criteria for City Attorney**

- 117. Does the City Attorney communicate effectively with the City Council, staff and the community?
- 118. Are answers provided in a timely and in an understandable manner?
- 119. Are timelines for follow-up to requests clearly communicated?
- 120. Does the City Attorney maintain confidentiality with regard to all matters discussed with the Mayor, City Council Members and/or City Manager and staff?
- 121. Does the City Attorney effectively report to the City Council and/or City Manager communications by project attorneys of a substantive nature regarding significant or sensitive matters?

### **Community Relations**

- 122. Maintains availability and open relations with media and the public as appropriate to the position.
- 123. Seeks to involve and inform those members of the public directly affected by an issue being addressed by the Council, Staff, within the responsibility of the City Attorney.
- 124. Does the City Attorney represent the City in a professional and ethical manner?

### **City Manager Relations**

- 125. Maintains effective and open communications, both verbal and written, with the City Manager.
- 126. Maintains availability to the City Manager personally and through designated subordinates.
- 127. Maintains objectivity and independence necessary to provide effective and objective legal advice to the City Council, recognizing the City Manager as the primary advisor to the City Council.

### **Management Characteristics**

- 128.
  - Decisiveness
  - Objectivity
  - Creative
  - Drive/ Initiative
  - Independence
  - Attitude

### **Career and Professional Development**

- 129. Participates fully in activities of department directors aimed at improvement of management and executive skills.

## **Possible Rating Criteria for City Attorney**

- 130. Attends personally, or through other attorneys in the firm, conferences and seminars where the subject matter, timing and location will advance interests of the City and enhance personal professional development related to municipal law.
- 131. Participates actively in professional programs and activities.

### **Personal Traits and Management Skills**

- 132. Major Strengths List
- 133. Major Improvement Areas

### **Mountain View**

#### **Relationship with City Council**

- 134. Is honest and trustworthy.
- 135. Respects confidences.
- 136. Is equally available and accessible to all Council members.
- 137. Does not play favorites -takes direction from Council as a whole.
- 138. Makes effective and equal communication to each Councilmember a priority.
- 139. Is open and responsive to constructive criticism of self and staff.

#### **Primary Relationship With the Council**

- 140. Provides Council with the confidence to move forward on important issues.
- 141. Positively contributes to the effectiveness and success of closed sessions.
- 142. Establishes a solid legal framework for the City in the eyes of the community.
- 143. Works well with the City Manager and/or other members of the management team.

#### **Staff Support to City Council**

- 144. Provides "complete staff work" to Council.
- 145. Provides staff recommendations and gives the Council options.
- 146. Staff reports are presented in a usable and understandable format.
- 147. Is responsive to Council requests and needs.
- 148. Assures support to the Council's policy making process.
- 149. Helps Council members field questions and concerns.

#### **Relationship with City Employees**

- 150. Demonstrates care about the welfare and success of staff.
- 151. Is approachable, accessible and friendly.
- 152. Works to maintain and improve employee morale.
- 153. Encourages suggestions and feedback from staff at all levels of the organization.
- 154. Demonstrates appreciation and praise for good work and efforts.
- 155. Effectively manages relationship with employee associations and unions.

## **Possible Rating Criteria for City Attorney**

### **Relationship with the City Manager/Department Heads**

- 156. Quality of the relationship benefits the City's mission.
- 157. Fosters good communications between the City Manager and the City Attorney's office.
- 158. Departments see the City Attorney's office as a valuable resource.
- 159. Team player.

### **Strategic Issue and Crisis Management**

- 160. Thinks strategically and develops approaches to complex/difficult issues.
- 161. Maintains calm, professionalism and confidence during difficult times.
- 162. Provides good advice and policy options to Council on big issues.
- 163. Assures adequate public information to the public on significant issues.

### **Customer Service and Communication with the Public**

- 164. Engenders customer satisfaction/service as a fundamental value in the organization.
- 165. Provides a high level of public information regarding City programs and services
- 166. Encourages citizen feedback and acts on this information.
- 167. Is accessible to the public and effectively communicates to members of the public.
- 168. Ensures quick follow-up and resolution to citizen complaints and requests for service.
- 169. Can communicate effectively and clearly in writing.
- 170. Maintains effective working relationships with community groups/organizations.
- 171. Deals efficiently with the media and represents the City well in this medium.
- 172. Is able to make effective public presentations.

### **Innovation and Creativity**

- 173. Encourages innovation and creativity and responsible risk-taking.
- 174. Is able to provide solutions/alternatives regarding complex issues and problems.
- 175. Introduces new ideas and concepts.
- 176. Exercises leadership in identifying new methods and best practices.
- 177. Encourages education and professional development to stay current on new methods and technology.

### **Intergovernmental Relations**

- 178. Effectively represents the City with outside agencies.
- 179. Contributes to regional cooperation and the resolution of regional issues.
- 180. Serves on regional boards/committees as required.
- 181. Maintains effective and cooperative relationship with local cities and other governmental agencies.
- 182. Provides leadership and coordination of intergovernmental relations program.

## **Possible Rating Criteria for City Attorney**

### **Other Personal Characteristics**

- 183. Is a person of high integrity, honesty and trustworthiness.
- 184. Has a well-regarded professional reputation.
- 185. Friendly, personable, approachable.
- 186. Is committed to personal professional development.
- 187. Demonstrates leadership.
- 188. Has a high energy-level and work ethic.
- 189. Is optimistic, enthusiastic, idealistic and cooperative.

### **Redwood City Leadership**

- 190. Provides sound leadership in running department and providing legal expertise to the City; role models City's values and is approachable to staff and community members; communicates effectively and is well-versed on legal affairs; aligns staff and financial resources with Council priorities and the needs of the community.

### **Credibility**

- 191. Holds self and staff to highest standards; is candid and up-front in dealing with issues and people; is viewed as trustworthy, ethical and a credible representative of the City.

### **Accountability/Service Delivery**

- 192. Holds self and staff accountable for decisions and expected outcomes of the City Council and community; creates an organizational culture of customer service and commitment to exceptional service; makes difficult decisions when needed and insures legal staff meets expectations.

### **Personal Development**

- 193. Leads by example and develops own skills as leader and City Attorney. Assesses own skills and has awareness of self and areas for further development.

### **Execution of Council Direction as it relates to legal matters**

- 194. Ensures legal action and plans are implemented consistent with Council direction and develops legal strategies that are within the best interest of the City.
- 195. What is one area where the Attorney can improve in the position?



## **Possible Rating Criteria for City Attorney**

### **San Jose**

#### **Provision of Major Legal Services**

196. Please discuss the major legal services your office has initiated or responded to over the past year. Major legal services cover attorney, advocate and litigator functions (e.g., litigation, special projects, major negotiations and hearings, and specific major ongoing responsibilities directly related to City Council decisions, policies or actions). Your discussion should address factors such as:

- The degree of success in providing major legal services given the strengths and weaknesses of the City's legal position in each situation.
- The degree of success in implementing Council decisions and enforcing City ordinances and codes in a cost-effective manner and achieving the City's primary objective of voluntary compliance.

#### **Provision of Legal Services- Routine Activities**

197. Please discuss the provision of routine legal services over the past year. Routine legal services cover such functions as: legal analysis, the routine provision of legal advice, and the effective preparation of legal documents (ordinances, resolutions, contracts, etc.) Your discussion should address factors such as:

- Your success in providing analysis that facilitated legally sound policy/program implementation).
- How well prepared legal documents (ordinances, resolutions, contracts, etc.) reflected the purposes for which they were prepared.

#### **Budget and Service Delivery Performance**

198. How have you managed your department's budget to assure that:

- Savings are attempted without service reductions?
- Services are provided at the level and quantity provided for in the budget?
- Expenditures are within budgetary constraints set by Council?

#### **Unusual Circumstances (Information Only- Not for Rating)**

199. Please describe any unusual or extenuating circumstances that have influenced your ability to perform your duties over the past year (e.g., additional significant assignments, high public interests in specific projects, overcoming the loss of key personnel, etc.).

#### **Managerial Effectiveness**

200. Please discuss significant developments or activities in how you achieved your results. How have you improved your organization over the past two years?

Examples of topics to discuss in this area include:

- customer service initiatives;
- examples of leadership you have provided,

## **Possible Rating Criteria for City Attorney**

- innovations you have initiated or completed;
- strategic planning initiatives started or completed;
- the quality of your communications with the public and City staff; and
- (examples of your ability to support and secure the support of other Council appointees to complete interdepartmental projects and activities and/or to implement interdepartmental services, recommendations or policies.

201. What have you done in the past year to enhance your professional skills, knowledge and capabilities?

202. What have you done to encourage your staff to improve its professional skills, knowledge and capabilities?

203. Please note any significant awards or other recognition you or your organization received in the past year.

### **Council Relations**

204. Please discuss your relationship with the City Council and other appointees over the past year. Examples of topic areas could include the following:

- How well have you kept the Council and staff informed of key legal issues, court rulings and administrative decisions affecting the legal interests of the City? Please provide examples.
- Discuss the timeliness of the legal services you have provided. Were Council and/or staff able to act in a timely fashion?
- Have reports to Council from your department been prepared and ready for presentation as originally scheduled at least 50% of the time? If not, please provide an explanation.

### **Current Year Achievement Plan (Information Only)**

205. Please prepare an achievement plan outlining any special projects or significant activities the City organization under your authority plans to focus on in the current year. The achievement plan may not exceed three pages.

### **Special Projects and Significant Activities**

206. Special projects or significant activities are *major one-time items* that will require significant City organization resources in the upcoming year and are in addition to projects, programs, and activities routinely undertaken as part of ongoing responsibilities. These items would normally be initiated and concluded in the same fiscal year but multiyear projects and activities can be listed if there are significant milestones that will be achieved in the current fiscal year. Examples of special projects or significant activities would include such items as:

- major items identified for study or action by Council;
- major capital projects;
- projects or activities related to: 1) ensuring City compliance with federal or state laws and mandates; 2) the prevention of avoidance of litigation; and/or 3) the litigation of specific issues;

## **Possible Rating Criteria for City Attorney**

- major interdepartmental projects leading to improved customer service and/or budget savings;
- the initiation of significant new services;
- major negotiations;
- significant research, studies or audits that will lead to new services or facilities and/or significant budget savings; or
- major strategic planning initiatives.

207. For each major project or significant activity, at minimum, please provide the following information:

1. A short description of the project or activity.
2. The purpose, anticipated outcome and/or benefits of the project (e.g., improving customer serving by reducing customer wait time by 10%; a facility that will extend or improve customer service to X number of residents; a program that will achieve the same service at X% lower cost, etc.).
3. When the project or activity will be completed or what major milestone will be achieved in the current fiscal year.

### **Professional Development**

208. Please identify any professional growth or training objectives you will pursue in current fiscal year for your staff or yourself.

## **Sunnyvale (2011 Review)**

### **Working with the City Council**

209. Provides the Council with accurate and timely information; provides information aiding the decision-making process; alerts the City Council of legal developments and potential legal problems.
210. Provides information equally to all members.
211. Engenders confidence of the Council for legal issues and working knowledge of the law as it applies to City issues and operations.
212. Shows loyalty and respect for Council and their opinions individually and as a group.
213. Demonstrates sound and mature judgment in recommendations and decisions.
214. Knows when to follow the lead of Council and be supportive and when to take the point on an issue.

### **Working with City Attorney Staff**

215. Generates enthusiasm and confidence among the other attorneys and from support staff in a way which provides them with challenges.
216. Distributes the workload to ensure that work is completed in a timely and competent manner
217. Provides opportunities for personal growth of staff members through special training and assignments.

## **Possible Rating Criteria for City Attorney**

218. Performs periodic individual evaluations of staff as part of professional development and an overall evaluation of work being completed.

### **Working with Other City Staff, Commissions, and Public**

219. Provides accurate and timely information in response to requests for assistance.
220. Plans and organizes the work of the City Attorney's Office in an effective manner to accommodate the needs of the City and its organization.
221. Provides reasoned, sound direction for implementation of City policies and programs.
222. Acts as a member of the City team in the development of policy recommendations with an approach of meeting the City Council desires.
223. Engenders a strong customer service ethic in the City Attorney's work with the City staff, commissions, and public.

### **Professional and Ethical Standards**

224. Maintains highest standards of professional and ethical conduct and honesty throughout the organization.
225. Deals with ethical problems in a forthright manner.
226. Respects confidence.
227. Assures the legal aspects of City Council policy are implemented and applied in a fair and even-handed manner.
228. Strives to enhance legal knowledge and skills, keeping aware of current developments, writings and research in the legal field and related areas.

### **Quality of Work**

229. Provides professional staff recommendations with appropriate summaries of materials; provides well prepared, effective legal presentations.
230. In presenting the City Council and City Manager with legal advice, identifies policy options and alternatives.
231. Achieves the goals and expectations of the Council.
232. Anticipates future legal needs of the City and develops plans to meet them.
233. Makes good use of outside counsel in completing the City's business

### **Major Legal Services**

234. Is the legal advice provided by the City Attorney to Council objective/ unbiased, professional, and adequate for your use in formulating and implementing legislative policies and projects?
235. Does the City Attorney initiate legal actions, as appropriate, and provide legal defense, as needed?

## **Possible Rating Criteria for City Attorney**

236. Does the City Attorney represent the City's interests in litigation, administrative hearings, negotiations and similar proceedings in accordance with your direction? How effective is the City Attorney in these activities given the strengths and weaknesses of the City's position in each situation?
237. How effective is the City Attorney at implementing Council's decision and enforcing City ordinances and codes in a cost-effective manner and in accordance with the City's primary objective of achieving voluntary compliance? Is compliance effectively attained?
238. Are the City Attorney's legal services provided in a timely fashion to permit City Council and staff to meet established deadlines?

### **Routine Internal Activities (Lawyer, counselor functions)**

239. How effectively does City Attorney provide legal analysis which facilitates legally sound policy/program implementation?
240. Does the City Attorney effectively evaluate results of action from a legal perspective?
241. Is the legal advice provided by the City Attorney competent and presented in a constructive, results-oriented and usable manner?
242. Do the legal documents prepared (ordinances, resolutions, contracts, etc.) clearly reflect and implement the purposes for which they are prepared?
243. How effective is the City Attorney at keeping City Council and staff apprised of court rulings and administrative decisions affecting the legal interests of the City?
244. How effectively does the City Attorney coordinate work with staff from other departments in order to accomplish goals? Is inter-departmental work performed in a collaborative manner?

### **Management (Leadership and Communication)**

245. How effective has the City Attorney been in communicating organizational values, philosophy and vision so that employees throughout the department are energized and motivated and able to focus their efforts to maximize department-wide synergy?
246. How effectively does the City Attorney communicate Council policy to various constituencies, i.e., the media, the public, City Council, the City Manager, employees and employee representatives?
247. Are verbal communications open, responsive, courteous, yet protective of the City's legal position?
248. Are written communications understandable, succinct and appropriate for the audience and purpose intended?
249. Does the City Attorney's communication inform and educate citizens and constituencies affected by issues being addressed by the Council, consistent with the need to avoid jeopardizing the City's legal position?

## **Possible Rating Criteria for City Attorney**

### **Staff Development**

- 250. How effective is the City Attorney at selecting, leading, and developing the professional and clerical staff within the Office of the City Attorney?
- 251. Is the City Attorney effective and appropriate in delegating authority and responsibility to subordinates?
- 252. Has the City Attorney taken effective actions to assure a highly motivated, quality professional and clerical team capable of providing excellent customer and client services? Consider those actions that have been effective in this regard.

### **Organizational/Managerial Effectiveness**

- 253. How effectively does the City Attorney foster cooperation and coordination within the Office of the City Attorney and between this department and other City departments?
- 254. Has the City Attorney created an effective organizational structure and environment which maximizes the effective provision of legal services?
- 255. Does the City Attorney anticipate future departmental needs and City wide legal needs and position the department so that it is ready to meet those needs?
- 256. How effectively does the City Attorney visualize implications of various approaches in solving problems and seeing opportunities?
- 257. Is the City Attorney willing to take initiative and do what's necessary to get the job done?
- 258. Is the City Attorney decisive in reaching timely decisions and initiating action?
- 259. Is the City Attorney flexible, enthusiastic, and cooperative in approaching issues and individuals within and outside of the organization?
- 260. Does the City Attorney demonstrate openness to alternative approaches and generate enthusiasm for attaining challenges/goals through cooperation?
- 261. Is the City Attorney able and willing to work cooperatively with Council, City Manager, and staff to achieve results in the best interest of the City?
- 262. Is the City Attorney honest, sincere, and upright in his/her professional interactions with others?
- 263. Does the City Attorney display the courage of his/her conviction in a constructive manner?

### **Budget**

- 264. Were services provided consistent with the outcomes specified in the budget?
- 265. Were expenditures within budgetary constraints?
- 266. Were savings attempted without service reductions?
- 267. Was the budget performance monitored and was corrective action taken as necessary?
- 268. Were service delivery methods evaluated and improved, as appropriate?

## **Possible Rating Criteria for City Attorney**

269. Did the City Attorney alert Council to changes needed in the departmental budget due to unpredictable occurrences?

### **Professional and Career Development**

270. Has the City Attorney attained the personal targets and/or Council defined targets for professional and career development that link to areas for growth identified in the current performance plan?

271. Have the training, formal education and/or professional activities planned been accomplished?

### **Goals for the Coming Year**

272. List the goals you would like the City Attorney to achieve in the coming year.

## **Sunnyvale (2010 Review)**

### **Professional Skills**

Does the City Attorney:

273. Provide competent legal advice in a useable, understandable manner?

274. Prepare ordinances, resolutions, agreements, contracts and other legal documents in a competent manner?

275. Represent the City's interests in litigation, administrative hearings, and other similar proceedings?

276. Participate in all City Council meetings and provide appropriate legal advice?

277. Retain the Mayor's, Council's, and staff's confidence and respect while informing them of the legal risks and consequences that proposed actions might generate?

### **Planning**

Does the City Attorney:

278. Anticipate needs and recognize potential legal problems?

279. Respond to requests and complete these requests in a timely manner?

280. Organize the Department's resources for maximum efficiency and effectiveness?

281. Maintain cooperative working relationships with other City departments, County, State and Federal officials and agencies?

## **Possible Rating Criteria for City Attorney**

### **Relationships with Mayor and Council**

Does the City Attorney:

- 282. Work with Mayor and Council to assist in accomplishing their goals in a way that protects the City from liability and does not merely say what cannot be done, but also describes legal alternatives?
- 283. Provide proper legal advice to ensure legality of Mayor's and Council's actions?
- 284. Make herself available to answer questions, hear concerns and receive feedback?
- 285. Inform Mayor and Council of relevant legal trends, precedents and opportunities occurring in the state or other municipalities that have important ramifications for the City?
- 286. Properly defend the City in litigation?
- 287. Make herself familiar with pertinent facts about Mayor and each Council member so he can and does protect each of them from violating legal (including Brown Act), controversial, and ethical issues?

### **Interpersonal Relationships**

- 288. Is the City Attorney energetic, enthusiastic and cooperative regarding actions before the City?
- 289. Is there a sense of loyalty and dedication apparent in the City Attorney's actions on behalf of the City?
- 290. Does the City Attorney exercise good judgment in arriving at decisions?
- 291. Does the City Attorney work well with individuals and groups?
- 292. Does the City Attorney enjoy the respect of members of the legal community as well as other members of the municipal law profession?

### **General Observations**

- 293. Traits, actions and characteristics the Council would most like to see continued.
- 294. Observed actions or traits the Council would most like to see enhanced.

### **BARS by Fran Rees**

Dimensions:

- 295. Goals and Objectives
  - a. There is a lack of commonly understood goals and objectives.
  - b. The team members understand and agree on goals and objectives.
- 296. Utilization of Resources
  - a. All resources of team members are not fully recognized or utilized.
  - b. The resources of all team members are fully recognized and utilized.



## **Possible Rating Criteria for City Attorney**

297. Trust and Conflict Resolution
  - a. There is little trust among team members, and conflict is evident.
  - b. There is high trust among team members and conflict is dealt with openly and worked through.
  
298. Leadership
  - a. One person dominates, and team-leadership roles are not carried out or shared.
  - b. There is full participation in leadership: Leadership roles are shared with team.
  
299. Control and Procedures
  - a. There is little control, and there is a lack of procedures to guide team functioning.
  - b. There are effective procedures to guide team functioning; team members support these procedures and regulate themselves.
  
300. Interpersonal Communications
  - a. Communications between team members are closed and guarded.
  - b. Communications between team members are open and participative.
  
301. Problem Solving and Decision Making
  - a. The team has no agreed upon approaches to problem solving and decision making.
  - b. The team has well-established and agreed upon approaches to problem solving and decision making.
  
302. Experimentation and Creativity
  - a. The team is rigid and does not experiment with how things are done.
  - b. The team experiments with different ways of doing things and is creative in its approach.
  
303. Evaluation
  - a. The team never evaluates its functioning process.
  - b. The team often evaluates its functioning and process.

## Possible Rating Scale for City Attorney

### ICMA

Appraisal of Performance:

1= Exceptional; 2= Exceeds Expectations; 3= Meets Expectations; 4=Below Expectations.

*Explain and support your rating—whether 1, 2, 3, or 4—and support it with specific examples*

### ALAMEDA

- 5 Outstanding** – Continually performs above the highest standards and expectations for the position. Performance is of a superior nature with minimal supervision.
- 4 Exceeds Expectations** – Employee must have demonstrated their own initiative to go beyond what is expected with minimal supervision.
- 3 Meets Expectations** – Performance is consistently within expectations and requirements of the position with normal supervision. Level of performance is competent and effective.
- 2 Needs Improvement** – Results are periodically below expectations and improvement is needed to function at an acceptable level. Performance at times does not meet requirements of the position.
- 1 Unsatisfactory** – Employee frequently fails to meet the minimum expectation of quality. Immediate action needs to be taken to prevent disciplinary action.

### MENLO PARK

Overall Rating

10      9      8      7      6      5      4      3      2      1  
(Outstanding)                      (Satisfactory)                      (Needs Improvement)

### MOUNTAIN VIEW

The following areas of performance are considered when evaluating Council-appointed officials. Incumbents are rated on a scale of 1 through 5 as follows:

- |                       |  |
|-----------------------|--|
| 5 = Exceptional:      | Exceeds standards on a consistent basis          |
| 4 = Highly competent: | Generally exceeds standards and requirements     |
| 3 = Competent:        | Expected performance level                       |
| 2 =Needs Improvement: | Does not consistently meet standards             |
| 1 =Poor:              | Consistently deficient in meeting most standards |

## Possible Rating Scale for City Attorney

### REDWOOD CITY

#### Performance Ratings

On a scale of 0 to 5 (5 being highest), please rate performance over the past year on each of the primary performance dimensions below, by circling one number – or “N/S” for not sure.

**Rating:**     0            1            2            3            4            5            N/S

### SAN JOSE

#### Possible Evaluation Determinations for Each Part:

Outstanding: 90-100; Superior: 80-89; Satisfactory: 70-79; Needs Improvement: 60-69; Unsatisfactory: 50-59

Rating	Score	Comments
Outstanding	90-100 points	Consistently exceeds and/or far exceeds the work standards, goals, objectives or expectations of the position.
Superior	80-89 points	Usually exceeds the work standards, goals, objectives or expectations of the position.
Satisfactory	70-79 points	Meets the work standards, goals, objectives or expectations of the position in a timely manner.
Needs Improvement	60-69 points	Sometimes does not meet the work standards, goals, objectives or expectations of the position (less than 25% of the time).
Unsatisfactory	50-59 points	Often does not meet the work standards, goals, objectives or expectations of the position (more than 25% of the time).

## Possible Rating Scale for City Attorney

### SUNNYVALE (2011 REVIEW)

#### Rating of Past Performance

The performance of the City Attorney is to be rated by circling the appropriate number for each characteristic of performance indicated. Each characteristic has three (3) levels of evaluation available as follows:

Rating Scale
1 = Exceeds Standard
2 = Meets Standard
3 = Does Not Meet Standard

The characteristics are grouped with an overall rating for the group using the same number system provided above. At the end of the section is an overall rating for the performance of the City Attorney which is to encompass all the characteristics and groupings.

### SUNNYVALE (2010 REVIEW)

1. Unsatisfactory: Performance does not meet job requirements.
2. Improvement needed: Performance partially meets requirements of job.
3. Satisfactory: Performance adequately meets job requirements.
4. Exceptional: Performance is excellent. Exceeding job requirements.

### Effective Team Assessment (BARS by Fran Rees)

Instructions: Rate your team on each of the nine dimensions, using a scale of one to seven, to indicate your Assessment of your team and the way it functions. Circle the number on each scale that you feel is most descriptive of your team.

1                      2                      3                      4                      5                      6                      7

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**SAMPLE APPRAISAL OF PERFORMANCE<sup>1</sup>**

**NAME:** \_\_\_\_\_

**EVALUATION PERIOD:** \_\_\_\_\_

Rate Category 1: 1= Exceptional; 2= Exceeds Expectations; 3= Meets Expectations; 4=Below Expectations.

**I. MANAGEMENT and LEADERSHIP PRACTICES (20–40%) \_\_\_\_\_**

**A. Elected Body Relationships**

Does not surprise Council; all Council members are informed of organization activities, progress, and problems on a regular basis.

Is receptive to Council member ideas and suggestions

Makes sound recommendations for Council action

Effectively implements policy decisions of the Council

Facilitates the decision-making process for the Council

Follows up on all problems and issues brought to his or her attention

Is nonpartisan; does not show favoritism

Accepts responsibility

**B. Organizational**

Leads a smooth-running and continuously improving organization

Proposes organizational goals and objectives prior to each fiscal year

Anticipates and plans well in advance

Is progressive in attitude and action

Follows through on set plans and deadlines

Emphasizes development and enhancement of the skills of all employees

Hires and retains competent staff members who know what is expected of them

Delegates effectively

Encourages high staff productivity and demands accountability

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<sup>1</sup> Adapted and used with permission from Gregory J. Bielawski, ICMA Senior Advisor and Illinois Range Rider, g\_bielawski@hotmail.com

**C. Community Relations**

Is appropriately visible and active within the community

Understands and is knowledgeable about the needs of the community

Encourages and honestly considers community input

Requests feedback from the community on the performance of the organization

Provides programs and services that are up to community standards and expectations

**D. Fiscal Performance**

Prepares and presents a long-range financial plan, which is updated as circumstances dictate

Presents balanced annual budgets with programs and service levels clearly identified

Recognizes and manages the budget within fiscal constraints

Displays common sense and good judgment in business transactions

Seeks all available funding sources

Provides accurate and complete financial reports in a timely manner

**E. Intergovernmental/Agency/Association Relationships**

Participates in professional management and leadership organizations

Effectively collaborates, coordinates, and communicates with other communities, regional associations, and similar organizations

**F. Communication**

Responds to all requests for information in a timely and thorough manner

Speaks and writes clearly

Responds to correspondence, phone calls, and requests for information in a timely and thorough manner

Provides all necessary and required reports and records

Ensures that information of general interest is current and timely, that website is up-to-date, and that available technology is used effectively

Provides details about specific projects to those affected in a timely manner

**G. Personal**

Is ethical, honest, and of high integrity

Projects professional demeanor and respect in all interactions

Is cordial and approachable

Explain and support your rating—whether 1, 2, 3, or 4—and support it with specific examples

**II. GOAL/TARGET ACHIEVEMENT (60–80%) \_\_\_\_\_**

Rate Category II: 1= Exceptional; 2= Exceeds Expectations; 3= Meets Expectations; 4=Below Expectations.

(Place the letter or number of each goal/target for the year on the appropriate line below).

\_\_\_ Achieved

\_\_\_ Partially achieved

\_\_\_ Not achieved

Comments:

**III. SUGGESTED GOALS/TARGETS FOR UPCOMING YEAR**

A.

B.

C.

**IV. WHAT SHOULD THE MANAGER START DOING, STOP DOING, AND CONTINUE DOING?**

**OVERALL EVALUATION:** \_\_\_\_\_

**Council Member Name** \_\_\_\_\_ **Date** \_\_\_\_\_

**Questions to Answer When Doing Your Appraisal**

- 1) What impressed you the most favorably about \_\_\_\_\_'s performance this past year?
- 2) In what areas has \_\_\_\_\_ shown exceptional performance?
- 3) What's your major area(s) of concern regarding \_\_\_\_\_'s performance this past year?
- 4) What specific recommendations/expectations do you have for \_\_\_\_\_ to improve performance?
- 5) What should be \_\_\_\_\_'s top three goals/targets for the next year?



ICMA University / Core Areas

# Practices for Effective Local Government Management

ICMA delivers the latest research in the 18 core areas critical for effective local government management.



ICMA University is the premier resource for local government management training. Our programs are designed to advance your career, enrich your community, and contribute to your professional fulfillment. ICMA's online workshops and programs bring the latest research, from leading experts, to your office. Our conferences and in-person workshops allow you to network with colleagues and exchange ideas. All ICMA University programs are drawn from the 18 core competencies determined by members to be essential to local government management.

## 1. STAFF EFFECTIVENESS

Promoting the development and performance of staff and employees throughout the organization

Practices that contribute to this core content area are:

- **Coaching/Mentoring:** Providing direction, support, and feedback to enable others to meet their full potential (requires knowledge of feedback techniques; ability to assess performance and identify others' developmental needs)
- **Team Leadership:** Facilitating teamwork (requires knowledge of team relations; ability to direct and coordinate group efforts; skill in leadership techniques)
- **Empowerment:** Creating a work environment that encourages responsibility and decision making at all organizational levels (requires skill in sharing authority and removing barriers to creativity)
- **Delegating:** Assigning responsibility to others (requires skill in defining expectations, providing direction and support, and evaluating results)

## 2. POLICY FACILITATION

Helping elected officials and other community actors identify, work toward, and achieve common goals and objectives

Practices that contribute to this core content area are:



- **Facilitative Leadership:** Building cooperation and consensus among and within diverse groups, helping them identify common goals and act effectively to achieve them; recognizing interdependent relationships and multiple causes of community issues and anticipating the consequences of policy decisions (requires knowledge of community actors and their interrelationships)
- **Facilitating Council Effectiveness:** Helping elected officials develop a policy agenda that can be implemented effectively and that serves the best interests of the community (requires knowledge of role/authority relationships between elected and appointed officials; skill in responsibly following the lead of others when appropriate; ability to communicate sound information and recommendations)
- **Mediation/Negotiation:** Acting as a neutral party in the resolution of policy disputes (requires knowledge of mediation/negotiation principles; skill in mediation/negotiation techniques)

### 3. FUNCTIONAL AND OPERATIONAL EXPERTISE AND PLANNING

A component of Service Delivery Management.

Practices that contribute to this core content area are:

- **Functional/Operational Expertise:** Understanding the basic principles of service delivery in functional areas--e.g., public safety, community and economic development, human and social services, administrative services, public works (requires knowledge of service areas and delivery options)
- **Operational Planning:** Anticipating future needs, organizing work operations, and establishing timetables for work units or projects (requires knowledge of technological advances and changing standards; skill in identifying and understanding trends; skill in predicting the impact of service delivery decisions)

### 4. CITIZEN SERVICE

A component of Service Delivery Management: Determining citizen needs and providing responsive, equitable services to the community

### 5. PERFORMANCE MEASUREMENT/MANAGEMENT AND QUALITY ASSURANCE

A component of Service Delivery Management: Maintaining a consistently high level of quality in staff work, operational procedures, and service delivery

### 6. INITIATIVE, RISK TAKING, VISION, CREATIVITY, AND INNOVATION

A component of Strategic Leadership: Setting an example that urges the organization and the community toward experimentation, change, creative problem solving, and prompt action

Practices that contribute to this core content area are:

- **Initiative and Risk Taking:** Demonstrating a personal orientation toward action and accepting responsibility for the results; resisting the status quo and removing stumbling blocks that delay progress toward goals and objectives

- **Vision:** Conceptualizing an ideal future state and communicating it to the organization and the community
- **Creativity and Innovation:** Developing new ideas or practices; applying existing ideas and practices to new situations

## 7. TECHNOLOGICAL LITERACY

A component of Strategic Leadership: Demonstrating an understanding of information technology and ensuring that it is incorporated appropriately in plans to improve service delivery, information sharing, organizational communication, and citizen access

## 8. DEMOCRATIC ADVOCACY AND CITIZEN PARTICIPATION

Demonstrating a commitment to democratic principles by respecting elected officials, community interest groups, and the decision making process; educating citizens about local government; and acquiring knowledge of the social, economic, and political history of the community

Practices that contribute to this core content area are:

- **Democratic Advocacy:** Fostering the values and integrity of representative government and local democracy through action and example; ensuring the effective participation of local government in the intergovernmental system (requires knowledge and skill in intergovernmental relations)
- **Citizen Participation:** Recognizing the right of citizens to influence local decisions and promoting active citizen involvement in local governance

## 9. DIVERSITY

Understanding and valuing the differences among individuals and fostering these values throughout the organization and the community

## 10. BUDGETING

Preparing and administering the budget

## 11. FINANCIAL ANALYSIS

Interpreting financial information to assess the short-term and long-term fiscal condition of the community, determine the cost-effectiveness of programs, and compare alternative strategies

## 12. HUMAN RESOURCES MANAGEMENT

Ensuring that the policies and procedures for employee hiring, promotion, performance appraisal, and discipline are equitable, legal, and current; ensuring that human resources are adequate to accomplish programmatic objectives

## 13. STRATEGIC PLANNING

Positioning the organization and the community for events and circumstances that are anticipated in the future

## 14. ADVOCACY AND INTERPERSONAL COMMUNICATION

Facilitating the flow of ideas, information, and understanding between and among individuals; advocating effectively in the community interest

Practices that contribute to this core content area are:

- **Advocacy:** Communicating personal support for policies, programs, or ideals that serve the best interests of the community
- **Interpersonal Communication:** Exchanging verbal and nonverbal messages with others in a way that demonstrates respect for the individual and furthers organizational and community objectives (requires ability to receive verbal and nonverbal cues; skill in selecting the most effective communication method for each interchange)

## 15. PRESENTATION SKILLS

Conveying ideas or information effectively to others

## 16. MEDIA RELATIONS

Communicating information to the media in a way that increases public understanding of local government issues and activities and builds a positive relationship with the press

## 17. INTEGRITY

Demonstrating fairness, honesty, and ethical and legal awareness in personal and professional relationships and activities

Practices that contribute to this core content area are:

- **Personal Integrity:** Demonstrating accountability for personal actions; conducting personal relationships and activities fairly and honestly
- **Professional Integrity:** Conducting professional relationships and activities fairly, honestly, legally, and in conformance with the ICMA Code of Ethics (requires knowledge of administrative ethics and specifically the ICMA Code of Ethics)
- **Organizational Integrity:** Fostering ethical behavior throughout the organization through personal example, management practices, and training (requires knowledge of administrative ethics; ability to instill accountability into operations; and ability to communicate ethical standards and guidelines to others)

## 18. PERSONAL DEVELOPMENT

Demonstrating a commitment to a balanced life through ongoing self-renewal and development in order to increase personal capacity

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Very good

Average

Excellent

Poor

Good



# Manager Evaluations

## HANDBOOK

**ICMA**



*Leaders at the Core of Better Communities*

ICMA advances professional local government worldwide. Its mission is to create excellence in local governance by developing and advancing professional management of local government. ICMA, the International City/County Management Association, provides member support; publications, data, and information; peer and results-oriented assistance; and training and professional development to more than 9,000 city, town, and county experts and other individuals and organizations throughout the world. The management decisions made by ICMA's members affect 185 million individuals living in thousands of communities, from small villages and towns to large metropolitan areas.

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## Definition of Terms

- The term *local government*, as used in this handbook, refers to a town, village, borough, township, city, county, or a legally constituted elected body of governments.
- The term *manager* refers to the chief executive officer (CEO) or chief administrative officer (CAO) of any local government who has been appointed by its elected body to oversee day-to-day operations.
- The terms *elected officials*, *elected body*, and *board* refer to any council, commission, or other locally elected body, including assemblies, boards of trustees, boards of selectmen, boards of supervisors, boards of directors, and so on.
- The term *manager evaluation* refers to the appraisal or assessment conducted by the elected body of the manager's performance in achieving organizational goals and implementing policy.

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# Preface

The evaluation of the manager is a key component of any well-run local government, yet the value of a quality evaluation process and the responsibility for that activity is often overlooked. Even in communities that are considered to be professionally governed, the performance evaluation of the local government manager can be an afterthought. The 2012–2013 Executive Board of the International City/County Management Association (ICMA), led by President Bonnie Svrcek, acknowledged the need for local government managers and their elected bodies to put more focus on the manager evaluation process.

Accordingly, it created a task force of managers from around the United States, representing over a dozen communities, to develop a *Manager Evaluations Handbook* that would assist managers and their boards in this critical task.

Managers are encouraged to review this handbook with an eye toward working with their elected bodies to develop formal, mutually agreed-upon processes for their own evaluations. This handbook, however, is also intended to highlight the value of a formal manager evaluation process and to assist local elected officials in the design of an effective evaluation tool.

# Executive Summary

**T**he periodic evaluation of the local government manager by the elected body is an important component of a high-performance organization. The evaluation should contain performance goals, objectives, and targets that are linked to the elected body's established strategic plans, goals, and priorities, and it should focus on the manager's degree of progress toward organizational outcomes. To be fair, it must be based on criteria that have been communicated to the manager in advance. Sample or generic evaluation forms, if used, should be customized to reflect these criteria.

The purpose of the evaluation process is to increase communication between the members of the elected body and the manager concerning the manager's performance in the accomplishment of assigned duties and responsibilities, and the establishment

of specific work-related goals and objectives for the coming year. Thus, all members of the elected body should participate in the process, both by individually completing the rating instrument and by discussing their ratings with the other board members in order to arrive at a consensus about performance expectations.

There is no one correct way to conduct a manager evaluation. The key is to ensure that the evaluation takes place in a regular, mutually agreed-upon manner and is viewed by all as an opportunity for communication between the elected officials and the manager.

It may be useful, particularly if the members of the elected body are inexperienced in the performance evaluation process, to use a consultant to help the elected body prepare for and conduct the manager's evaluation.

# Successful Evaluation Tips<sup>1</sup>

## **Performance evaluations will allow you to**

- A. Recognize the accomplishments of the manager and show appreciation for the unique contributions to the organization
- B. Clearly identify areas where the manager is doing well
- C. Clearly identify areas where the manager can improve his or her performance
- D. Specify definite actions that will allow the manager to make additional value-added contributions to the organization in the future.
- E. Obtain the manager's own opinions on progress and his or her individual contribution to collective actions and achievements.

## **Discussing tasks that the manager performs well**

- Gives the manager insight into self-awareness, interests, and motivation
- Gives the manager recognition and appreciation for achievements
- Creates a positive climate for the remainder of the review.

### **Reminders:**

- Listen intently.
- Reinforce the manager's performance.
- Emphasize facts; provide concrete examples and specific descriptions of actions, work, and results.
- Give only positive feedback during this part of the evaluation.
- Acknowledge improvements that the manager has made.
- Praise efforts if the manager has worked hard on something but failed because of circumstances beyond his or her control.
- Describe performance that you would like to see continued.

## **Discussing areas that need improvement**

- Gives insight into how the manager feels about change, improvement for growth
- Allows you to express any concerns you have about the manager's overall performance and performance in specific areas
- Lets you challenge the manager to higher levels of achievement.

### **Reminders:**

- Keep the discussion focused on performance.
- Describe actions and results that do not meet expectations.
- Describe areas where the manager can make a greater contribution.
- Describe any situation or performance observed that needs to be changed; be specific.
- Tell the manager what needs to be done if a specific change of behavior needs to take place.
- Focus on learning from the past and making plans for the future.
- Keep this part of the discussion as positive and encouraging as possible.

## **Do's and Don'ts**

### **DO:**

- Spend a few minutes warming up in which the agenda is laid out so everyone is reminded about what to expect. Give an overview.
- Always start with the positives. Be specific.
- Explain the ratings in all areas: Talk about how the consensus was arrived.
- Be honest. Tell it like it is.
- Be a coach, not a judge. Managing employees is a lot like being an athletic coach. Effective coaching involves a lot more than just score keeping. Simply providing the score at the end of the game doesn't improve performance.
- Discuss with the manager his or her reactions to the ratings, making clear that you are interested in his or her feelings and thoughts.
- If appropriate, develop an improvement plan that includes areas of deficiency, developmental needs.

### **DON'T:**

- Rate the manager without the facts. Ratings should be on actual results.
- Be too general.
- Sidestep problems. Document performance problems and clearly identify what needs improvement.
- Be vague or generalize the reasons for the performance scores. Clear and specific examples of results should be available.
- Ambush the manager by identifying deficiencies or problems that have never been addressed in informal discussions prior to the formal evaluation.
- Minimize the manager's concerns or discount his or her feelings.

## Introduction

There is some irony in the fact that managers' evaluations are often less formal and less structured than those of the managers' employees. While the manager may oversee the evaluation of hundreds of employees within an organization, his or her own performance evaluation becomes the task of elected leaders who are often not formally trained in the evaluation process or who have narrow or conflicting definitions of good performance. The fact that an elected body with numerous members is charged with the task of evaluating the manager makes the need for a clear and agreed-upon evaluation process even more important. And a thoughtful and structured evaluation process that is supported by all involved parties enhances the ongoing communication that is fundamental to effective board/manager relationships.

A manager's evaluation should contain performance goals, objectives, and targets that are linked to the elected body's established strategic plans, goals, and priorities and should focus on whether the manager has achieved the desired organizational outcomes.

Sometimes the tone of a performance review can be unduly influenced by the manager's last success or failure. Judging performance on the basis of a single incident or behavior is a common problem that can arise in any organization. But a single incident or behavior should not be the sole focus of a performance evaluation. That is not to discount the importance of how a manager handles high-stress, higher-profile issues, which is an important aspect of a manager's responsibility. However, day-to-day leadership, which is also a key responsibility of the manager, can sometimes go unnoticed even though it provides the foundation in which high-stress, high-profile issues are handled.

ICMA has developed a list of [18 Practices for Effective Local Government Management](#) that is recommended to members who are considering their own professional development needs and activities. The core areas represent much of what local government managers are responsible for on an everyday basis, and competency by the manager in these practices is central to an effective, high-performing, professionally managed local government. It is therefore the recommendation of ICMA's Task Force on Manager Evaluations that competency in the [ICMA Practices](#) also be considered in the manager's performance evaluation.

There is no one way, let alone one single correct way, to conduct an effective manager evaluation. This *Manager Evaluations Handbook* will present traditional

evaluation approaches that have proven to be successful, along with some alternative methods that may be good for your local government. Again, the key is to ensure that the evaluation takes place in a regular, mutually agreed-upon manner and is viewed by all as an opportunity for communication between the elected officials and the manager.

## The Purpose of Manager Evaluations

High-performance local governments embrace an ethos of continual improvement. Conducting regular appraisals of the manager's work performance is part of the continual improvement process.

The purpose of the evaluation process is to increase communication between the members of the elected body and the manager concerning the manager's performance in the accomplishment of his or her assigned duties and responsibilities and the establishment of specific work-related goals, objectives, and performance measures for the coming year. The evaluation process provides an opportunity for the elected body to have an honest dialogue with the manager about its expectations, to assess what is being accomplished, to recognize the manager's achievements and contributions, to identify where there may be performance gaps, to develop standards to measure future performance, and to identify the resources and actions necessary to achieve the agreed-upon standards. Keeping the focus on "big picture" strategic goals and behaviors rather than on minor issues or one-time mistakes/complaints leads to better outcomes.

Given that good relationships promote candor and constructive planning, the performance appraisal also provides a forum for both parties to discuss and strengthen the elected body-manager relationship, ensuring better alignment of goals while reducing misunderstandings and surprises. When elected bodies conduct regular performance appraisals of the manager, they are more likely to achieve their community's goals and objectives.

## Basic Process

Ideally, the performance appraisal process for a manager is the natural continuation of the hiring process.

## How to Initiate

Prior to the recruitment of candidates, the elected body typically develops the goals and objectives for

the position of manager. Then, during the selection process, the candidate and the hiring body meet to discuss these items along with the long- and short-term needs and issues of the community. Through these conversations, the basic tenets of the manager's performance evaluation are identified. At this point, the performance appraisal process just needs to be formalized. When the employment offer has been accepted, the employment agreement should include the requirement and schedule for the manager's evaluation.

(Excellent tools for preparing the employment agreement are contained in the [ICMA Recruitment Guidelines for Selecting a Local Government Administrator](#) and the [ICMA Model Employment Agreement](#).)

The employment agreement should stipulate that the performance evaluation will be a written document and that all parties will meet to discuss the contents in person. It should also identify the frequency with which evaluations will take place (e.g., annually, semi-annually). By including this information in the employment agreement, the hiring body ensures that communications between the manager and the elected body will be consistently scheduled, and that initiatives and objectives can be reviewed and updated on a regular basis.

It is especially critical for the elected body to come to consensus on the initial expectations of the newly hired manager so that priorities can be assigned and progress measured. Those issues that were important during the hiring process will logically factor into the initial evaluation process. Then, in the succeeding years, the document can be revised to reflect the latest accomplishments and newest challenges.

Of course, priorities may shift during the year. If that happens, make it clear to the manager that new or changed priorities are being added into the evaluation process.

If, with the passage of time, elections have taken place and the board that is conducting the evaluation is not the same board that did the hiring, it is important that the newly elected officials immediately be introduced to the established performance goals, measures, and evaluation process. This can be done as part of the orientation process for new board members, included in the discussion of the form of government and the role of the manager. If a new member has no experience in conducting performance evaluations, he or she will need to receive training before participating in this process.

If performance evaluations were not discussed during the hiring process, either the manager or the

elected body may request that an evaluation process be instituted, and the specifics for conducting the evaluation can then be agreed upon outside of the provisions of the employment agreement. If the request is made by the elected body, it is important to emphasize that the purpose of the evaluation process is to serve as a tool for organizational improvement, not as a means of punishing the manager or setting the stage for termination. While elected officials, especially those newly elected, may sometimes wish for a change in management, the performance evaluation process should not be used to effect such a change.

## How to Proceed

A number of issues should be considered when preparing for the evaluation process, including how to develop the rating instrument (and whether to use an outside consultant), how to use the rating instrument, and whether the evaluation should be conducted in private or in public.

### **Developing the Rating Instrument**

Unlike most employee performance evaluations, in which the employee is evaluated by a single executive or supervisor, the manager's evaluation is conducted by a group of individuals acting as a body. As each elected official likely has different expectations, the board members must first come to a consensus on measures and definitions to be used.

**Using a consultant.** If the members of the elected body are inexperienced in the performance evaluation process, it might be helpful at this point to use an independent consultant to assist in preparing for and conducting the manager's evaluation. A consultant could be used in a variety of ways.

When designing the evaluation instrument, a consultant should solicit each elected official's full participation by asking for examples and details for each rating category. Whether this is accomplished by interviewing each official individually or by facilitating a group session, it is important to ensure that all voices are heard. Use of an independent consultant is especially helpful if there is a lack of cohesion among elected officials.

Once the consultant has collected the information, the elected body and manager should meet in person to discuss the findings. It is recommended that the in-person conversation with the manager to review the evaluation be conducted by the elected body with the assistance of the consultant but not by the consultant alone.

If funds are limited, a consultant could be used in a limited engagement to prepare an evaluation system and then train the elected officials on how to conduct an evaluation, which the officials may manage themselves after the first year.

If the elected body decides to use a consultant, the Society for Human Resource Management (SHRM) may be a source of referrals, as may be state municipal leagues or the local government's regular employment consulting firms. If a recruiter was used to assist with the hiring process, the recruiter's agreement could be extended to include the setup of the initial evaluation process.

It is recommended that the evaluation process NOT be facilitated by the local government's corporation counsel, municipal clerk, or human resources director because these individuals are not independent parties. In almost all cases, their positions have either a reporting or a cooperating relationship with the manager, so involving them in the manager's evaluation may damage relationships that are necessary for the effective and efficient operation of the local government

***Proceeding without a consultant.*** If a consultant is not used to facilitate the development of the evaluation instrument, the elected body may wish to begin by reviewing the format and process used for the other local government employees and considering the same or a revised method. It is important to understand, however, that a manager is evaluated in additional ways. Because of this key difference, flexibility is needed to add any necessary components intended to assess varied goals and objectives and to facilitate a dialogue between the elected body and the manager.

To be fair, the evaluation must be outcome based, using criteria that have been previously communicated to the manager and that incorporate the elected body's priorities. The use of a prefabricated generic evaluation form (even the sample forms found at the end of this handbook) is not recommended without some customization to reflect these priorities.

### ***Measure observable behaviors and progress toward goals***

The manager's job is to achieve the organization's goals and implement the policies that have been determined by the elected body. Evaluating the manager's effectiveness in achieving the goals necessarily means that the elected body must have determined and communicated the goals to the manager in advance, ideally through a strategic planning process.

The manager's success in achieving the goals set by the elected body is related to his or her competencies and behaviors with respect to the specific functions identified as the responsibility of the manager. Defining the strengths of the manager and identifying areas for improvement are part of the evaluation process. ICMA has a list of 18 core areas critical for effective local government management. While this list, the [ICMA Practices for Effective Local Government Management](#), was developed for the purpose of ICMA's Voluntary Credentialing professional development program, the elected body might find it helpful for identifying the specific observable behaviors to be used in the manager evaluation. It is suggested that the elected body select what it believes to be the most important areas for achieving its goals and evaluate the manager's performance in these areas. The ICMA Practices are as follows ([click here](#) for descriptions):

1. Staff effectiveness
2. Policy facilitation
3. Functional and operational expertise and planning
4. Citizen service
5. Performance measurement/management and quality assurance
6. Initiative, risk taking, vision, creativity, and innovation
7. Technological literacy
8. Democratic advocacy and citizen participation
9. Diversity
10. Budgeting
11. Financial analysis
12. Human resources management
13. Strategic planning
14. Advocacy and interpersonal communication
15. Presentation skills
16. Media relations
17. Integrity<sup>2</sup>
18. Personal development

The members of the board must be in agreement about their expectations of the manager. Furthermore, both the manager and the board must understand what the expectations are.

The performance criteria established by the board for each of the prioritized functional areas need to be specific and observable by the members of the elected

body. If the criteria are quantifiable, they should be expressed in objective, measurable terms. For example, the manager saved 10% on the new project. If the criteria are qualitative and subjective, they can be expressed in terms of the desired outcome. For example, members of the community and employees frequently commented on the manager's fairness during this evaluation period.

### **Using the Rating Instrument**

The usefulness of any performance evaluation depends almost entirely upon the understanding, impartiality, and objectivity with which the ratings are made. In order to obtain a clear, fair, and accurate rating, an evaluator must clearly differentiate between the personality and performance of the manager being rated, making an objective and unbiased assessment on the basis of performance alone. Fairness requires the ability to identify both the strengths and weaknesses of the manager's performance and to explain these constructively to the manager.

When an evaluation is completed by a group of people, it is important that it reflect the consensus opinion of all members. All members of the elected body should participate in the manager evaluation process in order to arrive at a consensus. This consensus can be accomplished by having each member individually rate the manager, followed by a group discussion to arrive at a final consensus rating for each measure. Alternatively, if consensus cannot be reached, each member can individually complete the rating form, and then one member (or the consultant, if one is used) can collect the forms and compile the results and comments into one document, followed by group discussion. It is important that each member's ratings, whether positive or negative, be backed up with specific comments and examples so that the whole group understands the reasoning behind them.

If individual comments—those that do not necessarily represent the sentiments of the elected body as a whole—are to be included in the final document that will be discussed with the manager, the board should decide in advance whether those comments will be anonymous or attributed to the individuals making them.

It is important to keep in mind that performance evaluation is just one part of the communication toolbox between the manager and elected officials. It is intended to enhance that communication, not to result in a periodic written "report card" that is an end in itself. In addition, nothing in the evaluation ought ever

to be a surprise. Ongoing conversations should be held throughout the year (assuming that the evaluation is done annually) to help the manager understand if he or she is on course or if any midseason corrections are necessary. Ideally, the items in the evaluation will have already been touched on in these conversations, so the evaluation will serve as a written summary of them.

### **Public versus private evaluations**

When deciding whether to conduct the evaluation process in a public or an executive/closed session, the elected officials, manager, and legal counsel should review state law. When possible, it is recommended that the performance evaluation process occur in executive/closed session between the elected body and manager; however, many states have specific regulations about whether and when the public may be excluded from attending a meeting involving the elected body or from having access to certain records involving a public employee. Such "sunshine" laws were first created to increase public disclosure by governmental agencies. The purpose is to promote accountability and transparency by allowing the public to see how decisions are made and how money is allocated.

While all states have such laws, the exact provisions of those laws vary. For example, specific legislation may require that all government meetings be open to the public or that written records be released upon request. In many states, all local government records are available for review by the public, including evaluation documents and notes, unless they are specifically exempted or prohibited from disclosure by state statutes.

Regardless of whether the evaluation is conducted in a public or an executive/closed session, each state's statute will dictate certain procedures for meeting notification, recording of minutes, and disclosure of decisions made. These procedures should be reviewed by the elected officials, manager, and legal counsel and followed throughout the evaluation process.

However, all final decisions or actions related to the manager's performance (e.g., employment agreement changes, compensation) should be made in a public setting.

## **Frequency and Timing of Manager Evaluations**

As previously noted, the manager evaluation process, including the frequency and timing of the evaluations, will ideally have been discussed as part of the employ-

### Benefits of executive session/closed meeting to evaluate manager's performance

- Provides a venue for handling issues that are best discussed in private, and ensures confidentiality until a decision is made regarding the manager's performance
- Provides a forum that is not unduly influenced by outside sources
- Promotes a free-flowing discussion of comments by the elected body and manager
- Ensures the respect and privacy of personnel dealings between the elected body and manager
- Improves communication between the elected body and the manager
- Reduces opportunity to politicize the performance evaluation process
- Provides a forum for the elected body and the manager to talk openly about topics that warrant special attention, such as succession planning, senior staff performance, and executive compensation
- Enables elected officials to challenge the manager without fear of undermining his or her authority in the community

### Benefits of an open session/meeting to evaluate manager's performance

- Can build transparency and trust by enabling members of the public to view the process
- Can reduce claims of inappropriate agreements and "secrets"
- Can improve elected body, manager, and citizen relationships

### Benefits of providing a public summary once the process is completed

- Lets the public know how the elected body evaluates and views the manager
- Ensures transparency and public accountability
- Promotes the embodiment of ICMA's commitment to openness in government
- Provides the organization with another opportunity to earn the public's trust

ment agreement at the time of the manager's hiring. It is recommended that the initial formal evaluation not take place until the elected officials and the manager

have worked together for a year; however, short, less formal evaluations are recommended on a quarterly basis. After that, at least one formal evaluation (still with quarterly informal evaluations) should be conducted per year, as longer intervals create a higher likelihood of miscommunication and surprises.

It is further recommended that the formal evaluation be scheduled during the least busy time of year for both the manager and the elected officials, avoiding both the budget preparation season (particularly if the manager's compensation is tied to the evaluation) and the election season (lest the manager's evaluation become an election issue). The scheduling should also allow adequate time for newly elected members of the board to become familiar with the manager's performance.

### Relationship of Evaluation to Compensation

The primary purposes of a manager's performance evaluation are

1. To provide a tool for communication between the elected body and the manager
2. To provide an opportunity for the elected body to specifically indicate levels of satisfaction with the manager on mutually identified and defined performance priorities
3. To provide an opportunity for the manager to learn and improve
4. To allow for fair and equitable compensation adjustments based on a review of performance in achieving mutually identified priorities and on the elected body's level of satisfaction with the manager's overall performance.

Performance evaluations that are tied directly to compensation decisions are often distorted by those decisions and therefore result in less-than-honest communication between the elected body and the manager. This happens primarily because

1. Elected officials wishing to offer upward compensation adjustments may feel obliged to embellish the evaluation in a positive manner to justify the compensation decision to the public.
2. Elected officials not wishing to adjust compensation may feel obligated to justify their decision with negative comments about performance matters that actually are not a major concern to them.
3. The manager may be reluctant to seek full clarification on issues raised in the evaluation for fear it could result in a reconsideration of the compensation decision.



To avoid these distortions in communication, a balanced evaluation is necessary. That is, the evaluation should provide the opportunity for open communication and at the same time be used for compensation decisions related to identified performance achievement and corrective actions by the manager. To this end, a balanced evaluation would

1. Establish a clear set of performance expectations prior to the evaluation period.
2. Include a midterm evaluation without any consideration of compensation in order to focus on clarity of communication and performance to date. This evaluation would allow the manager to take steps to address areas of performance that were of concern to the elected body; it would also help to eliminate misunderstandings and miscommunication between the elected body and manager.
3. Use a full-term evaluation to evaluate the level of performance satisfaction for the entire performance period and thus provide the basis for a fair and equitable compensation decision.

Often, factors other than the performance evaluation form the basis of compensation decisions. These nonperformance considerations include

1. The economic climate of the community and region
2. The general status of compensation decisions in the private sector of the community
3. The compensation decisions for other employees of the local government
4. A general review of the competitive position of the local government in the local government's market area
5. A comparative salary review.

In summary, the performance evaluation of a professional manager can provide input into compensation decisions by the local elected body. However, the communication value of an evaluation is best served by a periodic evaluation not directly tied to compensation.

### **The Evaluation Results**

The evaluation serves as the written, formal record of the conversation between the manager and elected body and consists of two important sections. The first section is the elected body's appraisal of the manager's performance with respect to the previously agreed-upon goals for the period under review as well as the general performance of the organization. The second section contains an agreed-upon list of the

goals to be accomplished during the next appraisal period as well as any specific performance areas identified for improvement.

## **What Others Are Doing: Survey Results**

In developing this handbook, the task force surveyed a sample of local government managers within the United States to obtain information on current evaluation practices. The key findings of the survey suggest that the evaluation process is a problem for a sizeable number of managers. Fortunately, though, most respondents did not report problems with their evaluations and took the time to comment on key aspects of successful appraisals. These comments provide clues to the common pitfalls related to the evaluation process and, more importantly, suggestions for improving the process. This section of the handbook describes these survey findings.

The most common challenges managers and elected bodies face with the evaluation process revolve around four general areas: failure to undertake evaluations, lack of a credible appraisal process, lack of knowledge of the council-manager form of government, and lack of communication. Each of these topics is briefly discussed below.

### **Failure to Undertake Evaluations**

Employee appraisals are a standard feature of most workplaces. They serve as a means of enhancing employee performance as well as the overall effectiveness of the organization. Indeed, employee appraisals serve similar purposes as performance measures of programs and services. In both cases, we seek to identify opportunities for continual improvement. Yet people avoid completing performance appraisals, most likely because properly completed appraisals require time and effort. Other reasons for avoidance may include fear of criticism or the underlying stress associated with the appraisal process. Neglecting to undertake regular performance appraisals, however, can lead to underachievement. Worse yet, failing to complete appraisals on a regular basis can lead to unfounded assumptions that all is well when it is not. It is therefore important to establish a regular pattern of appraisals.

The survey responses identified two methods to help ensure that appraisals are conducted on a regular basis. The most common method is to place a requirement for an annual evaluation within the employment

contract. The requirement should also specify a time of year—often a time that is less busy than others. The other method is to establish an appraisal time at a regularly scheduled annual meeting, such as a board retreat. But while this method achieves the goal of a scheduled appraisal, it is a less satisfactory approach because it may easily dilute the focus necessary for a good appraisal.

## Lack of a Credible Evaluation Process

Another common challenge that survey respondents noted is the lack of a credible evaluation process. Problems include lack of structure, little to no preparation, and limited understanding of appraisals, both purpose and process. Process issues may be addressed through formal training of both the manager and council. Training can be accomplished through work sessions with human resource professionals. Another approach is to team up with CEOs and board members of locally-based institutions that have the same challenge and jointly sponsor training programs. Although not as effective as training, the use of standard evaluation forms, customized to a community's goals, is another way of ensuring a more structured process. Lastly, most managers who are satisfied with their appraisal processes noted that one member of the elected body, typically the mayor, provided active oversight of the process and kept discussions on point and on track.

## Lack of Knowledge of the Council-Manager Form of Government

Lack of knowledge about the community's form of government and/or the day-to-day work of the manager is another factor that was cited as hindering quality appraisals. In this case, providing information as early as possible to newly elected officials about the form of government is recommended. This can include meeting with those officials and discussing the manager's duties and responsibilities as well as taking them on field visits. Another approach is to partner with the statewide municipal league and/or municipal clerks association to provide seminars on the form of government. Managers can also use opportunities such as community functions to inform the general public about its form of government. Some jurisdictions use the "policy governance" model, whereby the explicit roles of the manager, elected body, and

other key staff such as attorney are clearly defined and documented. Removing misunderstandings and filling informational voids about the form of government can greatly improve appraisals because such efforts clarify the duties and responsibilities of both the manager and the board.

## Lack of Communication

Perhaps the most important ingredient for successful appraisals is effective means of communications between manager and elected officials. As in any human relationship, effective communication is key to understanding and removing faulty assumptions. Achieving superior levels of communication requires active listening and regularity. And the benefits of such attention are high. For instance, survey respondents noting the most satisfaction with the appraisal process use a wide variety of means to regularly communicate with their elected bodies. They meet with elected officials on an individual basis and talked with them regularly via telephone. These same managers provide regular written and verbal reports, typically at each board meeting, that discuss the progress on council goals and objectives, strategic plans, and prior evaluation topics, as well as on operational and special topic issues. More detailed reports are provided on a quarterly basis. In addition, many managers meet with their elected bodies more than once a year with a single-issue focus to discuss progress, redefinition, and resourcing of established goals and objectives, strategic plans and efforts, etc. These additional meetings provide time to focus on progress and reduce the probability of end-of-year surprises.

Creating an effective organization takes time and effort. It also requires regular evaluation of services and operations. Evaluating employee performance, especially the manager's, is a vital element of successful organizations. Objective appraisals can be achieved with an accurate understanding of the manager's and elected officials' duties and responsibilities. Communicating regularly and effectively through a variety of means is a vital element of successful organizations and employee appraisals.<sup>3</sup>

## Supplemental Approaches

The basic process for evaluations may be supplemented or expanded by using other tools, such as self-evaluations, periodic check-ins, 360-degree assessments, and conversation evaluations.

## Self-Evaluations

It is recommended that a self-evaluation component be included in whatever type of evaluation is used. The purpose of a self-evaluation is for the manager to reflect upon his or her level of performance in achieving the organizational objectives, including both internal and external accomplishments and challenges in handling specific tasks and taking organizational direction. In a public setting, process and perception can be as important as outcomes, and managers should include all three in a self-evaluation. Thus, a manager's self-evaluation should make clear to elected officials the process by which the manager pursued individual goals, and the perceptions of both the manager and stakeholders of the manager's success or failure in meeting those goals. A manager's self-evaluation should be customized to the needs of each governmental entity.

## Periodic Check-ins

There is a management philosophy that says there should be no surprises during an evaluation. Managers should be continually evaluating, assessing, measuring, and communicating with employees. Providing this type of continuous evaluation is a greater challenge, however, for elected boards because it requires the participation of all board members—since the manager reports to a group and not a single individual supervisor. If a process is in place for formal evaluations of the manager, such evaluations likely occur just once per year. The annual evaluation can be a stressful time for all involved, and it can also be a challenge to remember all that has occurred over the past year. Moreover, it is easy for annual assessments to skew toward recent events, challenges, and successes while deemphasizing activities that occurred nine or ten months ago. In reality, an elected body's perception of a manager's job performance is often viewed through lenses crafted by the “crisis of the day” or by how smoothly the last board meeting went. A more workable alternative is periodic check-ins.

Periodic check-ins, such as once per quarter, can help reduce the stress and minimize the surprises that can come when a manager's performance is evaluated only annually. A periodic review of a manager's work plan can help remind the elected body of the manager's long-term goals (as set by the organization) so that both parties can evaluate the manager's progress toward meeting those agreed-upon goals. If progress on the work plan has slowed down or other challenges have arisen along the way, a quarterly check-in offers the manager

an opportunity to self-reflect on his or her performance as well as a forum to explain delays. It can also provide the manager the opportunity to remind the board of the 18 core areas noted in the [ICMA Practices for Effective Local Government Management](#) that are critical and are part of operating effectively on a day-to-day basis.

A periodic check-in on the manager's work plan is also important when faces on the elected board change, such as after an election, resignation, or reassignment of committees. By apprising the new board members of the manager's work plan, the manager is making certain that the new officials understand and are supportive of the projects or goals that he or she is working on.

## 360-Degree Assessments

Another form of appraisal process is the 360-degree assessment, which is sometimes referred to as a “self-development” tool. Generally speaking, the 360-degree assessment consists of an employee obtaining feedback from supervisors, subordinates, and peers. In this case, the manager completes a self-evaluation as well, with a sample of the workforce providing the subordinate feedback. In some instances, feedback is also obtained from those outside the organization, such as citizens who have frequently worked with the manager and use the jurisdiction's services regularly.

Some jurisdictions include the 360-degree assessment as part of the manager's appraisal process. The ICMA Voluntary Credentialing Program also uses this method as part of maintaining the credential; however, ICMA's assessments ask only behavioral questions. They do not cover progress toward organizational goals.

In most cases a 360-degree assessment is conducted digitally via the Internet. Raters are provided evaluation forms that are returned to an independent third party via the Internet in order to ensure anonymity and confidentiality.

One of the chief benefits of the 360-degree assessment process is that it provides feedback on competencies that are not regularly seen and therefore are not discussed in the typical performance appraisals. For instance, line staff will see behaviors that elected officials do not see and vice versa. Thus, a manager's performance may be improved because it is evaluated from several different perspectives. However, if the 360-degree assessment is used as part of the appraisal process, caution should be taken so that the evaluation doesn't become a measure of the manager's popularity with staff or the public. The manager works for the elected officials and should be evaluated by them on the basis of their stated expectations.

## Conversation Evaluation System<sup>4</sup>

This version of an evaluation is a conversational session between the manager and the elected officials. For situations where there is tension among the elected officials or between the manager and the elected body, a facilitator can be used.

### **Step #1: Create Factors**

The elected officials divide themselves into subgroups—normally an equal number of officials in each. The number of groups should be small, so for a board with 7 members, there would be a group of 3 people and a group of 4 people. With larger boards—say a county board with 20 people—there might be more groups. Where the situation involves a mayor and other elected officials, the mayor can move between the two groups or can be part of one group. The manager makes up his or her own group.

The elected official groups are given a single question that they can respond to with a number of factors: “What should members of the elected body expect of the manager?” The groups place their answers on a flipchart page. The manager also gets a question: “What do you think the elected body ought to expect of the manager?” to which he or she can also respond with a number of factors listed on a flipchart page.

### **Step #2: Reach Consensus on the Factors**

The subgroups come back together and discuss each of the factors they listed. They work to combine their lists to arrive at between 10 and 15 factors.

### **Step #3: Assign Weight Values for the Factors**

The group divides again, and the subgroups assign points to each of the factors from Step #2. They are given a total of 300 points and may assign from 10 to 30 points to each factor, but each factor must be given an even number of points. More points are given to those items that are a higher priority.

### **Step #4: Reach Consensus on Weight Values for the Factors**

The subgroups come back together again with the point values they have from their discussions. During this conversation, the entire group tries to come to a consensus on how the point values from Step #3 should be allocated.

### **Step #5: Assign Rating to Each Factor for the Actual Performance of the Manager**

The elected officials distribute points to each of the factors on a 1–5 scale, on which 5 is far exceeds expectations, 4 is exceeds expectations, 3 is achieves

expectations, 2 is below expectations, and 1 is far below expectations. For example, a 30-point factor would have the following scale:

30–28	Far exceeds expectations (5)
28–26	Exceeds expectations (4)
26–24	Achieves expectations (3)
24–22	Below expectations (2)
22–20	Far below expectations (1)

These points are totaled, and then added to the points from the section below.

### **Step #6: Select Goals**

The board—collectively and in consultation with the manager—comes up with the list of goals for the manager. Together they then assign another 100 points to the goals for the year. So, for example, 50 points could be assigned to Goal #1, Goal #2 could get 20 points, and Goal #3 could get 20 points, leaving 10 points for Goal #4.

The points from the above 5 steps would be added to the 100 points possible from step number 6 and would be totaled for an overall score using the chart below:

400–360	Far exceeds expectations
359–320	Exceeds expectations
319–280	Meets expectations
279–240	Below expectations
239–200	Far below expectations

In summary, this is a conversational evaluation. The evaluators review the factors each year and everybody owns them. From year to year the factors are revised as necessary to reflect the feelings of the elected body, which can change each year.

## Data-gathering/Software Resources

Performance evaluation software can be an effective tool for the elected body to prepare manager evaluations. A wide variety of programs are available, enabling elected bodies to have as much or as little input into the rating categories as they wish. Some programs come with rating categories already provided for a variety of positions, some allow the customer to provide the categories, and some are a hybrid. This flexibility allows the elected officials to create a customized rating tool that works best for them.

Some evaluation software programs allow for multiple raters and some for a single rater. If the program only allows for a single rater, all elected officials convene to discuss each category, agree on the rating, and offer comments, while one elected official enters the rating and comments into the software program. In this case, there needs to be trust among the elected officials that all opinions are being heard and recorded. It is then important that all elected officials review the final draft and offer feedback before it is given to the manager.

If a multiple-rater system is used, elected officials will be completing the evaluation away from the rest of the elected body, so it is recommended that there be group discussion beforehand to ensure consistency in the meaning of the rating categories as in opinions about the manager's performance. The elected officials should also meet after they have entered their ratings because the evaluation *is* a group activity, not a multiple individual activity.

A word of warning regarding the multiple-rater system: It may be difficult to make sure that everyone fully participates in the process. Elected officials won't be informed by each other's comments, and consensus can be hard to achieve. Thus, if some elected officials provide more commentary than others, it could skew the overall evaluation.

Even with the use of performance evaluation software, an in-person conversation between the elected body and the manager is needed to review the evaluation and discuss the results.

As noted above, a wide variety of software programs are available, including

- Online survey tools such as Survey Monkey
- Performance evaluation software (SHRM can recommend)
- NeoGov online performance evaluation module

## Conclusion

Communication. That is the essential element to maintaining a good relationship between an elected board and the appointed manager. Communication comes in many forms, but the board's evaluation of the manager is a formalized method of communication that should not be overlooked.

The task force that was formed to develop this handbook compiled and considered the best practices for manager evaluations. The group shared numerous ideas and learned a great deal from each other. The final product demonstrates that just as each manager and board are unique, so too must be the evaluation process for each manager. While there are common

methods of evaluation, the tools and methods used to evaluate one manager in one community may not be appropriate for another manager in a neighboring community. To maximize legitimacy and effectiveness and to enhance communication, a manager's evaluation needs to be tailored to the issues and stated goals of the elected body.

That said, the task force also agreed that there are some standard elements—notably, the [ICMA Practices for Effective Local Government Management](#)—that would enhance any evaluation. These 18 core competencies are the framework for what a manager does on a day-to-day basis, and they warrant acknowledgment in the evaluation process.

Finally, while this handbook offers a variety of ideas on the manager evaluation process, the most important takeaway is that the evaluation must take place and that the process must be mutually agreed upon. There are many ways to get this done, but the manager and the board both deserve the structured communication that the evaluation provides.

## Sample Evaluation Forms for Local Government CAOs

- [Sample Appraisal of Performance](#)
- [Sample Manager Evaluation Form](#)
- [Sample Manager Performance Evaluation](#)
- [Sample County Administrator Performance Evaluation](#)

## Other Resources

- [ICMA Practices for Effective Local Government Management](#)
- [Recruitment Guidelines for Selecting a Local Government Administrator](#)
- [ICMA Model Employment Agreement](#)
- [ICMA Code of Ethics with Guidelines](#)





## Notes

- 1 Adapted from City Manager Performance Review, Successful Evaluation Tips, City of Mountlake Terrace, WA
- 2 Integrity is not simply concerned with whether the manager's behavior is legal; it also addresses the issue of personal and professional ethics: "Demonstrating fairness, honesty, and ethical and legal awareness in personal and professional relationships and activities." ICMA members agree to abide by the ICMA Code of Ethics.
- 3 Perkins, Jan. "Case Study: It's (Gulp) Evaluation Time." *PM*, July 2005. <http://icma.org/Documents/Document/Document/3602>
- 4 Adapted and used with permission from Lewis Bender, PhD, Professor Emeritus, Southern Illinois University, Edwardsville, [lewbender@aol.com](mailto:lewbender@aol.com)

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CITY OF ALAMEDA
Performance Evaluation

Employee Name: \_\_\_\_\_ Job Title: \_\_\_\_\_

Evaluation Period Covered: From: \_\_\_\_\_ To: \_\_\_\_\_

Check appropriate box: [ ] Annual Evaluation [ ] Probationary
[ ] Special (specify) \_\_\_\_\_

Prior to completion of this form, the employee is to complete the Employee Input form. All gray fields expand as you enter text.

Ratings or Performance Indicators for Sections A through D

- 5 Outstanding - Continually performs above the highest standards and expectations for the position. Performance is of a superior nature with minimal supervision.
4 Exceeds Expectations - Employee must have demonstrated their own initiative to go beyond what is expected with minimal supervision.
3 Meets Expectations - Performance is consistently within expectations and requirements of the position with normal supervision. Level of performance is competent and effective.
2 Needs Improvement - Results are periodically below expectations and improvement is needed to function at an acceptable level. Performance at times does not meet requirements of the position.
1 Unsatisfactory - Employee frequently fails to meet the minimum expectation of quality. Immediate action needs to be taken to prevent disciplinary action.

Provide comments at the end of each section, regardless of rating. Specifically address items with any rating other than 3, Meets Expectations.

Table with 2 columns: Description and Rating. Section A: Work Skills and Job Knowledge. Items include: 1. Complies with rules and regulations in completing tasks. 2. Possesses sufficient skill and knowledge to perform key components of the job. 3. Updates skills to keep pace with changing technology or other job requirements. 4. Understands departmental mission, role, and operations. 5. Accomplishes objectives in spite of changing situations and circumstances. 6. Relies on available information (e.g. policies, procedures, and regulations) and experience to make decisions. 7. Logically analyzes data/situations, evaluates alternatives, and makes sound decisions. 8. Reports, proposals, and other written materials prepared are clear and concise. Summary Rating:

Comments:

Table with 2 columns: Description and Rating. Section B: Interpersonal Skills. Items include: 1. Exhibits patience, professionalism, respect, and understanding when dealing with the public and co-workers. Takes responsibility to resolve issues; does not pass off a customer to team members inappropriately; takes ownership of issues until resolved. 2. Maintains effective relationships and communications with supervisor and co-workers throughout the City. Demonstrates ability to manage conflict even in difficult situations and is both respectful and respected by others. Works well as a team member by helping others and contributing to a cohesive work environment within work group, within department, and between departments.

3. Demonstrates ability to effectively and accurately compose reports, correspondence, and other job related written assignments. Verbally expresses ideas and concepts clearly and concisely, including presentations.	
4. Maintains professional conduct, exhibits courtesy, and provides effective customer service.	
5. Demonstrates commitment to public good, upholds public trust, exercises authority responsibly and impartially.	

**Summary Rating:**

Comments:

<b>SECTION C: Work Habits</b>	Rating
1. Plans and organizes work to accomplish assigned duties.	
2. Maintains a safe and neat work area. Follows the safety practices of the City and department and sets a safe example for others.	
3. Works to full capacity, accurately, thoroughly, and effectively. Makes efficient use of resources and completes work in a timely manner. Pays attention to important details.	
4. Prioritizes work to maximize results and meet appropriate deadlines.	
5. Observes working hours by consistently: arriving to work as scheduled, informing supervisor of any changes in work schedule at earliest convenience, having a reliable attendance record, and planning time off for vacations.	
6. Can be relied upon to follow-up and complete tasks.	
7. Effectively adapts to day-to-day demands of the job; is able to juggle multiple priorities with minimal supervision.	
8. Shows initiative by seeking out new assignments and assuming additional duties when necessary.	

**Summary Rating:**

Comments:

<b>SECTION D: Leadership Skills (Optional for non-supervisors)</b>	Rating
1. Provides leadership to employees through motivation, delegation, and adherence to City policies.	
2. Manages in an effective and efficient manner. Involves employees in work-related problem identification and resolution. Encourages job ownership and personal responsibility. Provides guidance to employees; sets a good example; both commends and disciplines employees in a timely and appropriate manner.	
3. Introduces and considers new ideas which may enhance organizational operations. Demonstrates insight, flexibility, and creativity in strategic planning.	
4. Develops and applies sound creative fiscal management techniques and prepares responsible and realistic fiscal plans and departmental budgets. Controls expenditures within set budget limits, consistently seeking ways to reduce costs. Develops and maintains performance measures.	
5. Independently analyzes situations and makes decisions. Takes initiative to solve problems.	
6. Encourages a culture of continuous learning and is supportive of employee's career goals and objectives. Allows others to develop as leaders at all levels. Completes evaluations on time and uses the evaluation process to support continuous learning.	

**Summary Rating:**

Comments:

<b>SECTION E: Overall General Comments (Including review of major duties and responsibilities)</b>
<b>SECTION G: Goal Review (Outcome of prior year goals)</b>
<b>SECTION H: Goal Setting (Goals and expectations for next evaluation)</b>



<b>SECTION I: Employee Comments (Optional)</b>

Supervisor's signature: \_\_\_\_\_ Date: \_\_\_\_\_

Department Head's signature: \_\_\_\_\_ Date: \_\_\_\_\_

I acknowledge that I have read my performance evaluation and reviewed it with my supervisor. My signature does not imply agreement or disagreement with the contents of this evaluation. I understand that I have the opportunity to attach to this form comments in response to this evaluation.

Employee's signature: \_\_\_\_\_ Date: \_\_\_\_\_

**City of Menlo Park**

**City Attorney Evaluation Form**

**ANNUAL PERFORMANCE EVALUATION CRITERIA**

**I. Provision of Legal Services**

1. Provides competent legal advice in a constructive, results oriented and useful manner.

Comments \_\_\_\_\_  
\_\_\_\_\_

2. Capably represents the City's interest, as determined by the City Council, in litigation, administrative hearings, negotiations and similar proceedings.

Comments \_\_\_\_\_  
\_\_\_\_\_

3. Prepares ordinances, resolutions, contracts and other legal documents to best reflect and implement the purposes for which they are intended.

Comments \_\_\_\_\_  
\_\_\_\_\_

4. Enforces City ordinances and codes in an effective manner, which reflects the City's primary goal of achieving compliance.

Comments \_\_\_\_\_  
\_\_\_\_\_

5. Keeps City Council and staff apprised of court rulings and legislation affecting legal interest of the City.

Comments \_\_\_\_\_  
\_\_\_\_\_

6. Performs legal services in a timely fashion to permit the City Council and staff to meet established deadlines.

Comments \_\_\_\_\_  
\_\_\_\_\_

7. Performs all services in a manner consistent with the highest standards of professional conduct and with the responsibilities of the office of the City Attorney.

Comments \_\_\_\_\_  
\_\_\_\_\_

8. Provides cost effective services: use of billed time, coordination.

Comments \_\_\_\_\_  
\_\_\_\_\_

## **II. General Management**

1. Manages the operations of the legal department in an effective manner with emphasis on interdepartmental coordination and service levels.

Comments \_\_\_\_\_  
\_\_\_\_\_

2. Maintains effective communications with appropriate clients within the City.

Comments \_\_\_\_\_  
\_\_\_\_\_

3. Demonstrates customer service and enhances City values.

Comments \_\_\_\_\_  
\_\_\_\_\_

4. Budget preparation and management with established administrative procedures in coordination with City Manager.

Comments \_\_\_\_\_  
\_\_\_\_\_

## **III. Major Work Assignments and Job Responsibilities**

1. Provides appropriate level of legal assistance and staffing to the City Council, Staff, Boards and Commissions as necessary for formulation and implementation of legislative policies and projects.

Comments \_\_\_\_\_  
\_\_\_\_\_

2. Special Projects

Comments \_\_\_\_\_  
\_\_\_\_\_

## **IV. Council Relations**

1. Maintains effective communications, both verbal and written, with the City Council.

Comments \_\_\_\_\_  
\_\_\_\_\_

2. Maintains appropriate availability to Council, personally and through designated subordinates.

Comments \_\_\_\_\_  
\_\_\_\_\_

3. Provides prompt response to Council inquiries.

Comments \_\_\_\_\_  
\_\_\_\_\_

4. Maintains a professional, objective and unbiased relation with the City Council.

Comments \_\_\_\_\_  
\_\_\_\_\_

5. Maintains a confidence of Council in objectivity and professional competence of City Attorney, and carries out Council policies in a professional manner.

Comments \_\_\_\_\_  
\_\_\_\_\_

6. Maintains consistency of opinions between attorneys and his/her own opinions.

Comments \_\_\_\_\_  
\_\_\_\_\_

**V. Community Relations**

1. Maintains availability and open relations with media and the public as appropriate to the position.

Comments \_\_\_\_\_  
\_\_\_\_\_

2. Seeks to involve and inform those members of the public directly affected by an issue being addressed by the Council, Staff, within the responsibility of the City Attorney.

Comments \_\_\_\_\_  
\_\_\_\_\_

**VI City Manager Relations**

1. Maintains effective and open communications, both verbal and written, with the City Manager

Comments \_\_\_\_\_  
\_\_\_\_\_

2. Maintains availability to the City Manager personally and through designated subordinates.

Comments \_\_\_\_\_

3. Maintains objectivity and independence necessary to provide effective and objective legal advice to the City Council, recognizing the City Manager as the primary advisor to the City Council.

Comments \_\_\_\_\_

**VII. Management Characteristics**

1. Decisiveness \_\_\_\_\_
2. Objectivity \_\_\_\_\_
3. Creative \_\_\_\_\_
4. Drive/Initiative \_\_\_\_\_
5. Independence \_\_\_\_\_
6. Attitude \_\_\_\_\_

**VIII. Career and Professional Development**

1. Participates fully in activities of department directors aimed at improvement of management and executive skills.

Comments \_\_\_\_\_

2. Attends personally, or through other attorneys in the firm, conferences and seminars where the subject matter, timing and location will advance interests of the City and enhance personal professional development related to municipal law.

Comments \_\_\_\_\_

3. Participates actively in professional programs and activities.

Comments \_\_\_\_\_

**IX. Personal Traits and Management Skills**

1. Major Strengths List

Comments \_\_\_\_\_



**CITY ATTORNEY PERFORMANCE REVIEW  
RATING SHEET**

Rate each item from 1 (low) to 5 (high) based on your opinion of the City Attorney's performance. Mark N/A if you do not have enough information to rate.

**I. LEGAL CONSULTATION**

- \_\_\_\_\_ A. Has legal advice provided by the City Attorney proven to be accurate and technically correct?
- \_\_\_\_\_ B. Does the City Attorney provide his best and honest recommendations given all existing legal issues and ramifications?
- \_\_\_\_\_ C. Does the City Attorney possess and provide an efficient and effective knowledge of the City's Municipal Code and regulations?
- \_\_\_\_\_ D. Does the City Attorney possess and provide an efficient and effective knowledge of other government regulations and case law regarding municipal government and issues facing the City?
- \_\_\_\_\_ E. Does advice provided by the City Attorney regularly take into account and balance the overall goals and objectives of the City?
- \_\_\_\_\_ F. Does the City Attorney regularly provide the scope of legal expertise necessary to meet the City's needs on issues that arise, either from himself, within his firm or other available resources?
- \_\_\_\_\_ G. Does the City Attorney proactively identify potential issues when he is aware of them to avoid problems from occurring?
- \_\_\_\_\_ H. Are alternatives and innovative solutions provided rather than just raising problems?
- \_\_\_\_\_ I. Is the City Attorney able to maintain the City Council's and staff's confidence while informing them of the different legal risks that proposed actions might generate?

**II. LEGAL REPRESENTATION**

- \_\_\_\_\_ A. Does the City Attorney aggressively represent the interests of the City as directed by the City Council?

- B. Is the City Attorney's approach effective in achieving the best possible legal outcomes for the City's interests given the issues that arise?
- C. Does the City Attorney represent the City in a professional and ethical manner?
- D. Is the City Attorney impartial and objective in his duties and responsibilities?
- E. Are the City Attorney's estimates of legal impacts reasonably accurate on a regular basis?

**III. STAFF WORK**

- A. Does the City Attorney prepare ordinances, resolutions, contracts and other legal work accurately and consistent with the direction and objectives communicated by the City Council, City Manager and/or department directors?
- B. Does the City Attorney maintain good working relationships and serve as an effective member of the management team?
- C. Does the City Attorney accurately identify and address all legal issues within documents and items that he reviews?
- D. Are staff and the City Council advised of key changes in municipal law as it pertains to the City's activities?
- E. Does the City Attorney display a positive attitude in carrying out his responsibilities and responding to requests?
- F. Has the City Attorney been successful in accomplishing objectives previously established?

**IV. COST/FISCAL ACCOUNTABILITY AND CONTROL**

- A. Are regular legal activities achieved within budgetary goals and limits?
- B. Has the City Attorney been effective in minimizing legal costs by limiting tasks to those regarding legal issues and utilizing City in-house staff when possible to perform administrative and other functions?
- C. Are standard forms developed and used where possible to minimize preparation of legal documentation?
- D. Are legal tasks performed with appropriate authorization according to established procedures and contract requirements?



- E. Do invoices accurately identify tasks and expenses in sufficient detail to provide accountability and cost control?
- F. Does the City Attorney display the ability and knowledge to research issues in a minimum amount of time?
- G. Have legal costs been effectively managed and controlled given the issues, assignments and requests made to the City Attorney?

V. **RESPONSIVENESS/TIMELINESS OF ACTIONS**

- A. Are requested legal work and assignments completed in a timely manner within established time frames?
- B. Is the City Attorney accessible when needed to respond to requests for legal information and assistance?
- C. Are legal review and requests for information completed in time to avoid delays to City projects, programs and other tasks?
- D. Does the City Attorney follow-up effectively to requests that are made?
- E. Does the City Attorney accurately interpret and clarify City Council and City Manager direction?

VI. **COMMUNICATIONS**

- A. Does the City Attorney communicate effectively with the City Council, staff and the community?
- B. Are answers provided in a timely and in an understandable manner?
- C. Are timelines for follow-up to requests clearly communicated?
- D. Does the City Attorney maintain confidentiality with regard to all matters discussed with the Mayor, City Council Members and/or City Manager and staff?
- E. Does the City Attorney effectively report to the City Council and/or City Manager communications by project attorneys of a substantive nature regarding significant or sensitive matters?



**CITY COUNCIL POLICY**

REVISED: April 24, 2007

Effective Date: January 9, 1978

Resolution No. 17202

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SUBJECT: COUNCIL APPOINTEE COMMUNICATIONS  
AND PERFORMANCE EVALUATION PROCESS

NO: D-9

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PURPOSE:

To establish procedures governing communications between Council appointees and the City Council, and the performance evaluation process for Council appointees.

POLICY:

1. Council appointees shall provide the City Council with periodic written communications regarding items of current interest and/or importance.

The City Manager shall provide this communication to the City Council on a weekly basis. The City Attorney shall provide this communication on a monthly basis and the City Auditor and City Clerk on an as-needed basis.

2. The City Council shall follow the process as described below for evaluating the performance of its appointees. Two processes are described, Standard and Expanded. Annually, prior to the Vice Mayor's development of the evaluation process schedule, the Council shall determine whether to implement a Standard or Expanded process and whether a professional facilitator shall be hired to assist with the process. If a facilitator will be utilized, the Council shall appropriate funding accordingly. As a guideline, the Expanded process would normally use a professional facilitator and would normally not be implemented more frequently than once every three years. Additionally, the Council shall determine, if the Expanded process is chosen, whether it will include executive staff (department heads) evaluations of appointees.

A. Standard Evaluation Process

1. The City Council's annual goal-setting process (beginning January/February of each year) shall serve as a guide to Council appointees in the development of their goals for the upcoming fiscal year.
2. In late June, with assistance from the City Clerk's Office and City Manager's Office, the Vice Mayor shall develop a schedule with specific dates, based on the guidance in this policy, for the appointee

**CITY COUNCIL POLICY**

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NO: D-9

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performance evaluation process. The City Auditor's evaluation process and schedule may differ from that established for other appointees.

3. A City Council subcommittee composed of the Mayor and Vice Mayor shall meet with each appointee individually in late August of each year to initiate the performance review process.

The meeting may include a discussion/review of topics, such as:

- (a) The procedures and time line for the evaluation process;
  - (b) Any specific issues an appointee would like to discuss during the process; and/or
  - (c) Any particular areas of emphasis that the performance evaluation subcommittee wishes to make an appointee aware of prior to the beginning of the evaluation process.
  - (d) Any process issues relative to compensation.
4. By early September, each Council appointee shall prepare a memorandum to the City Council:
    - (a) Including a summary of issues and accomplishments for the past fiscal year; and
    - (b) Establishing goals for the upcoming fiscal year (based on the City-wide goals adopted by the City Council the previous May/June).

Compensation issues can be addressed in this memorandum or no later than the date set for Paragraph 6.

5. The City Council shall meet in late September in Closed Session (which may require one or more evenings) to hear presentations by the City Clerk, City Attorney and City Manager regarding their written

**CITY COUNCIL POLICY**

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NO: D-9

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memorandums. The City Council shall develop follow-up questions that the Vice Mayor will provide to the City Clerk, City Attorney and City Manager within three days.

6. The City Council shall meet in early October in Closed Session for:  
(1) the appointees to respond verbally to Council's follow-up questions;  
and (2) the preparation of the consensus evaluations.
7. The Mayor and Vice Mayor shall confirm that the wording of the written consensus evaluations is consistent with the City Council's input from Step (6), and the Vice Mayor shall deliver the written evaluations to appointees by late October.
8. The City Council shall meet in early November in two Closed Sessions (which can be on the same night) to: (1) review written evaluations with appointees; and (2) provide "financial parameters" to the Mayor and Vice Mayor to guide compensation negotiations with appointees. A copy of the annual compensation survey shall be available to the City Council at this time.

The City Auditor's annual report and fiscal year work plan will be reviewed at the same time as 8(1).

9. The Mayor and Vice Mayor shall meet with appointees individually in mid-November to discuss compensation adjustments. Appointees shall receive the COLA adjustment provided to other unrepresented employees. The adjustment is to be implemented at Council's discretion. If further direction on compensation is needed from the Council, a Closed Session will be scheduled. If not, the Mayor and Vice Mayor shall instruct the Employee Services Director to prepare Council agenda items on appointee compensation if additional compensation adjustments are to be implemented.

**CITY COUNCIL POLICY**

REVISED: April 24, 2007

Effective Date: January 9, 1978

Resolution No. 17202

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SUBJECT: COUNCIL APPOINTEE COMMUNICATIONS  
AND PERFORMANCE EVALUATION PROCESS

NO: D-9

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B. Expanded Evaluation Process

1. The City Council's annual goal-setting process (beginning January/February of each year) shall serve as a guide to Council appointees in the development of their goals for the upcoming fiscal year.
2. In June, with assistance from the City Clerk's Office and City Manager's Office, the Vice Mayor shall develop a schedule with specific dates, based on the guidance in this policy, for the appointee performance evaluation process. The expanded evaluation process does not include the City Auditor evaluation process. Therefore, in years when the expanded process is implemented, the City Auditor standard evaluation process will be separate but aligned to the extent possible with the schedule established herein.
3. A City Council subcommittee composed of the Mayor and Vice Mayor shall meet with each appointee individually in late August of each year to initiate the performance review process.

The meeting may include a discussion/review of topics, such as:

- (a) The procedures and time line for the evaluation process;
  - (b) Any specific issues an appointee would like to discuss during the process; and/or
  - (c) Any particular areas of emphasis that the performance evaluation subcommittee wishes to make an appointee aware of prior to the beginning of the evaluation process; and
  - (d) Any process issues relative to compensation.
4. By early September, the City Manager, City Attorney and City Clerk shall each prepare a self-evaluation for the City Council, using the respective evaluation form provided (Example: Attachment 1). In

**CITY COUNCIL POLICY**

REVISED: April 24, 2007

Effective Date: January 9, 1978

Resolution No. 17202

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SUBJECT: COUNCIL APPOINTEE COMMUNICATIONS  
AND PERFORMANCE EVALUATION PROCESS

NO: D-9

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addition, Councilmembers shall prepare their individual evaluation forms for each of these appointees, and the Vice Mayor (or consultant) shall coordinate the preparation of individual evaluation forms for each of these appointees on the part of the executive staff, if included in the scope of the expanded evaluation (Example: Attachment 1).

5. The City Council shall meet in late September in Closed Session (which may require one or more evenings) with the City Clerk, City Attorney and City Manager regarding their evaluations. The City Council shall develop follow-up questions that the Vice Mayor will provide to the City Clerk, City Attorney and City Manager within three days.
6. The City Council shall meet in early October in Closed Session for:  
(1) the appointees to respond verbally to Council's follow-up questions;  
and (2) the preparation of the consensus evaluations by the Council.
7. The Mayor and Vice Mayor shall confirm that the wording of the written consensus evaluations is consistent with the City Council's input from Step (6), and the Vice Mayor shall deliver the consensus evaluations to the City Clerk, City Attorney and City Manager by late October.
8. The City Council shall meet in early November in two Closed Sessions (which can be on the same night) to: (1) review written evaluations with appointees and appointees' compensation expectation memorandums; and (2) provide "financial parameters" to the Mayor and Vice Mayor to guide compensation negotiations with appointees. A copy of the annual compensation survey shall be given to the City Council at this time.

The City Auditor's annual report and fiscal year work plan will be reviewed at the same time as 8(1).

9. The Mayor and Vice Mayor shall meet with appointees individually in mid-November to discuss compensation adjustments. Appointees shall receive the COLA adjustment provided to other unrepresented employees. The adjustment is to be implemented at Council's discretion.

**CITY COUNCIL POLICY**

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SUBJECT: COUNCIL APPOINTEE COMMUNICATIONS  
AND PERFORMANCE EVALUATION PROCESS

NO: D-9

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If further direction on compensation is needed from the Council, a Closed Session will be scheduled. If not, the Mayor and Vice Mayor shall instruct the Employee Services Director to prepare Council agenda items on appointee compensation if additional compensation adjustments are to be implemented.

3. This policy acknowledges that other formal and informal methods of Council/appointee communications, goal setting and performance evaluations exist. This policy does not preclude the use of these other methods.

LF/CNLPOL  
D09-601CP^



**CITY OF MOUNTAIN VIEW  
EVALUATION OF COUNCIL APPOINTED OFFICER**

**CITY MANAGER**

The following areas of performance are considered when evaluating Council-appointed officials. Incumbents are rated on a scale of 1 through 5 as follows:

5 = Exceptional:	Exceeds standards on a consistent basis
4 = Highly competent:	Generally exceeds standards and requirements
3 = Competent:	Expected performance level
2 = Needs Improvement:	Does not consistently meet standards
1 = Poor:	Consistently deficient in meeting most standards

**SECTION I – AREAS OF PERFORMANCE**

**1. Relationship with City Council**

1	Is honest and trustworthy	1	2	3	4	5
2	Respects confidences	1	2	3	4	5
3	Is equally available and accessible to all Council members	1	2	3	4	5
4	Does not play favorites – takes direction from Council as a whole	1	2	3	4	5
5	Makes effective and equal communication to each Councilmember a priority	1	2	3	4	5
6	Is open and responsive to constructive criticism of self and staff	1	2	3	4	5

Comments and examples:

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**2. Staff Support to City Council**

1	Provides "complete staff work" to Council	1	2	3	4	5
2	Provides staff recommendations and gives the Council options	1	2	3	4	5
3	Staff reports are presented in a usable and understandable format	1	2	3	4	5
4	Is responsive to Council requests and needs	1	2	3	4	5
5	Provides high level of information to Council relating to City programs, services, issues – keeps them well informed	1	2	3	4	5
6	Assures support to the Council's policy making process	1	2	3	4	5
7	Effectively and consistently carries out Council policy direction.	1	2	3	4	5
8	Provides copies of special reports requested by one Councilmember to all Councilmembers	1	2	3	4	5
9	Provides copies of special reports requested by one Councilmember to all Councilmembers	1	2	3	4	5

Comments and examples:

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3. Relationship with City Employees

1	Demonstrates care about the welfare and success of staff	1	2	3	4	5
2	Is approachable, accessible and friendly	1	2	3	4	5
3	Works to maintain and improve employee moral	1	2	3	4	5
4	Encourages suggestions and feedback from staff at all levels of the organization	1	2	3	4	5
5	Demonstrates appreciation and praise for good work and efforts	1	2	3	4	5
6	Effectively manages relationship with employee associations and unions	1	2	3	4	5

Comments and examples:

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4. Leadership to the Organization:

1	Inspires teamwork and cooperation	1	2	3	4	5
2	Provides effective link between staff and City Council	1	2	3	4	5
3	Maintains (and sets a personal example) for high standards of honesty, integrity and trust	1	2	3	4	5
4	Holds staff accountable for results	1	2	3	4	5
5	Delegates sufficiently – while being aware of details	1	2	3	4	5
6	Emphasizes interdepartmental coordination and communication	1	2	3	4	5
7	Provides guidance and direction to staff	1	2	3	4	5
8	Is action and results-oriented – and expects this from staff	1	2	3	4	5
9	Encourages continuous improvement and responsible risk-taking	1	2	3	4	5

Comments and examples:

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5. Effective Service Delivery

1	Monitors progress of key organizational goals and reports it to staff and the City Council	1	2	3	4	5
2	Assumes that the organization effectively provides quality services	1	2	3	4	5
3	Encourages productivity improvements	1	2	3	4	5
4	Establishes high standards and holds staff accountable for results	1	2	3	4	5
5	Implements the approved Capital Improvement Program, including the effective maintenance of the City's infrastructure	1	2	3	4	5

Comments and examples:

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6. Strategic Issue and Crisis Management

1	Thinks strategically and develops approaches to complex/difficult issues	1	2	3	4	5
2	Maintains calm, professionalism and confidence during difficult times	1	2	3	4	5
3	Provides good advice and policy options to Council on big issues	1	2	3	4	5
4	Assures adequate public information to the public on significant issues	1	2	3	4	5

Comments and examples:

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7. Customer Service and Communication with the Public

1	Engenders customer satisfaction/service as a fundamental value in the organization	1	2	3	4	5
2	Provides a high level of public information regarding City programs and services	1	2	3	4	5
3	Encourages citizen feedback and acts on this information	1	2	3	4	5
4	Is accessible to the public and effectively communicates to members of the public	1	2	3	4	5
5	Ensures quick follow-up and resolution to citizen complaints and requests for service	1	2	3	4	5
6	Can communicate effectively and clearly in writing	1	2	3	4	5
7	Maintains effective working relationships with community groups/organizations	1	2	3	4	5
8	Deals efficiently with the media and represents the City well in this medium	1	2	3	4	5
9	Is able to make effective public presentations	1	2	3	4	5

Comments and examples:

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8. Innovation and Creativity

1	Encourages innovation and creativity and responsible risk-taking	1	2	3	4	5
2	Is able to provide solutions/alternatives regarding complex issues and problems	1	2	3	4	5
3	Introduces new ideas and concepts	1	2	3	4	5
4	Exercises leadership in identifying new methods and best practices	1	2	3	4	5
5	Encourages education and professional development to stay current on new methods and technology	1	2	3	4	5

Comments and examples:

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9. Financial Management

1	Recommends policies, practices and strategies to ensure long-term financial health	1	2	3	4	5
2	Provides oversight and guidance in financial matters	1	2	3	4	5
3	Provides for high-quality annual budget and Capital Improvement Program processes	1	2	3	4	5
4	Recommends a reasonable and balanced annual budget and Capital Improvement Program	1	2	3	4	5
5	Keeps Council informed regarding overall financial condition and key issues	1	2	3	4	5

Comments and examples:

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10. Intergovernmental Relations

1	Effectively represents the city with outside agencies	1	2	3	4	5
2	Contributes to regional cooperation and the resolution of regional issues	1	2	3	4	5
3	Serves on regional boards/committees as required	1	2	3	4	5
4	Maintains effective and cooperative relationship with local cities and other governmental agencies	1	2	3	4	5
5	Provides leadership and coordination of intergovernmental relations program	1	2	3	4	5

Comments and examples:

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11. Other Personal Characteristics

1	Is a person of high integrity, honesty and trustworthiness	1	2	3	4	5
2	Has a well-regarded professional reputation	1	2	3	4	5
3	Friendly, personable, approachable	1	2	3	4	5
4	Is committed to personal professional development	1	2	3	4	5
5	Demonstrates leadership	1	2	3	4	5
6	Has a high energy-level and work ethic	1	2	3	4	5
7	Is optimistic, enthusiastic, idealistic and cooperative	1	2	3	4	5

Comments and examples:

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**SECTION II – ACHIEVEMENT OF PERFORMANCE OBJECTIVES**

Evaluate achievement of personal performance objectives

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**SECTION III – FUTURE DEVELOPMENT**

List three performance objectives for this individual you feel are the most important targets for this year:

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**CITY OF MOUNTAIN VIEW**

**EVALUATION OF COUNCIL APPOINTED OFFICER**

**CITY ATTORNEY**

The following areas of performance are considered when evaluating Council-appointed officials. Incumbents are rated on a scale of 1 through 5 as follows:

5 = Exceptional:	Exceeds standards on a consistent basis
4 = Highly competent:	Generally exceeds standards and requirements
3 = Competent:	Expected performance level
2 = Needs Improvement:	Does not consistently meet standards
1 = Poor:	Consistently deficient in meeting most standards

**SECTION I – AREAS OF PERFORMANCE**

**1. Relationship with City Council**

1	Is honest and trustworthy	1	2	3	4	5
2	Respects confidences	1	2	3	4	5
3	Is equally available and accessible to all Council members	1	2	3	4	5
4	Does not play favorites – takes direction from Council as a whole	1	2	3	4	5
5	Makes effective and equal communication to each Councilmember a priority	1	2	3	4	5
6	Is open and responsive to constructive criticism of self and staff	1	2	3	4	5

Comments and examples:

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**2. Primary Relationship With the Council**

1	Provides Council with the confidence to move forward on important issues	1	2	3	4	5
2	Positively contributes to the effectiveness and success of closed sessions	1	2	3	4	5
3	Establishes a solid legal framework for the City in the eyes of the community	1	2	3	4	5
4	Works well with the City Manager and/or other members of the management team	1	2	3	4	5



Comments and examples:

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3. Staff Support to City Council

1	Provides "complete staff work" to Council	1	2	3	4	5
2	Provides staff recommendations and gives the Council options	1	2	3	4	5
3	Staff reports are presented in a usable and understandable format	1	2	3	4	5
4	Is responsive to Council requests and needs	1	2	3	4	5
5	Assures support to the Council's policy making process	1	2	3	4	5
6	Helps Councilmembers field questions and concerns	1	2	3	4	5

Comments and examples:

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4. Relationship with City Employees

1	Demonstrates care about the welfare and success of staff	1	2	3	4	5
2	Is approachable, accessible and friendly	1	2	3	4	5
3	Works to maintain and improve employee moral	1	2	3	4	5
4	Encourages suggestions and feedback from staff at all levels of the organization	1	2	3	4	5
5	Demonstrates appreciation and praise for good work and efforts	1	2	3	4	5
6	Effectively manages relationship with employee associations and unions	1	2	3	4	5

Comments and examples:

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5. Relationship with the City Manager/Department Heads:

1	Quality of the relationship benefits the City's mission	1	2	3	4	5
2	Fosters good communications between the City Manager and the City Attorney's office	1	2	3	4	5
3	Departments see the City Attorney's office as a valuable resource	1	2	3	4	5
4	Team player	1	2	3	4	5

Comments and examples:

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6. Strategic Issue and Crisis Management

1	Thinks strategically and develops approaches to complex/difficult issues	1	2	3	4	5
2	Maintains calm, professionalism and confidence during difficult times	1	2	3	4	5
3	Provides good advice and policy options to Council on big issues	1	2	3	4	5
4	Assures adequate public information to the public on significant issues	1	2	3	4	5

Comments and examples:

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7. Customer Service and Communication with the Public

1	Engenders customer satisfaction/service as a fundamental value in the organization	1	2	3	4	5
2	Provides a high level of public information regarding City programs and services	1	2	3	4	5
3	Encourages citizen feedback and acts on this information	1	2	3	4	5
4	Is accessible to the public and effectively communicates to members of the public	1	2	3	4	5
5	Ensures quick follow-up and resolution to citizen complaints and requests for service	1	2	3	4	5
6	Can communicate effectively and clearly in writing	1	2	3	4	5
7	Maintains effective working relationships with community groups/organizations	1	2	3	4	5
8	Deals efficiently with the media and represents the City well in this medium	1	2	3	4	5
9	Is able to make effective public presentations	1	2	3	4	5

Comments and examples:

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8. Innovation and Creativity

1	Encourages innovation and creativity and responsible risk-taking	1	2	3	4	5
2	Is able to provide solutions/alternatives regarding complex issues and problems	1	2	3	4	5
3	Introduces new ideas and concepts	1	2	3	4	5
4	Exercises leadership in identifying new methods and best practices	1	2	3	4	5
5	Encourages education and professional development to stay current on new methods and technology	1	2	3	4	5

Comments and examples:

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9. Intergovernmental Relations

1	Effectively represents the City with outside agencies	1	2	3	4	5
2	Contributes to regional cooperation and the resolution of regional issues	1	2	3	4	5
3	Serves on regional boards/committees as required	1	2	3	4	5
4	Maintains effective and cooperative relationship with local cities and other governmental agencies	1	2	3	4	5
5	Provides leadership and coordination of intergovernmental relations program	1	2	3	4	5

Comments and examples:

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11. Other Personal Characteristics

1	Is a person of high integrity, honesty and trustworthiness	1	2	3	4	5
2	Has a well-regarded professional reputation	1	2	3	4	5
3	Friendly, personable, approachable	1	2	3	4	5
4	Is committed to personal professional development	1	2	3	4	5
5	Demonstrates leadership	1	2	3	4	5
6	Has a high energy-level and work ethic	1	2	3	4	5
7	Is optimistic, enthusiastic, idealistic and cooperative	1	2	3	4	5

Comments and examples:

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**SECTION II – ACHIEVEMENT OF PERFORMANCE OBJECTIVES**

Evaluate achievement of personal performance objectives

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**SECTION III – FUTURE DEVELOPMENT**

List three performance objectives for this individual you feel are the most important targets for this year:

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**SECTION IV – OVERALL EVALUATION**

Rating:    1    2    3    4    5

Comments:

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# CITY OF MOUNTAIN VIEW

## EVALUATION OF COUNCIL APPOINTED OFFICER

### CITY CLERK

The following areas of performance are considered when evaluating Council-appointed officials. Incumbents are rated on a scale of 1 through 5 as follows:

5 = Exceptional:	Exceeds standards on a consistent basis
4 = Highly competent:	Generally exceeds standards and requirements
3 = Competent:	Expected performance level
2 = Needs Improvement:	Does not consistently meet standards
1 = Poor:	Consistently deficient in meeting most standards

### SECTION I – AREAS OF PERFORMANCE

#### 1. Relationship with City Council

1	Is honest and trustworthy	1	2	3	4	5
2	Respects confidences	1	2	3	4	5
3	Is equally available and accessible to all Council members	1	2	3	4	5
4	Does not play favorites – takes direction from Council as a whole	1	2	3	4	5
5	Makes effective and equal communication to each Councilmember a priority	1	2	3	4	5
6	Is open and responsive to constructive criticism of self and staff	1	2	3	4	5

Comments and examples:

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#### 2. Staff Support to City Council

1	Is responsive to Council requests and needs	1	2	3	4	5
2	Is effective in assisting the Council in administering the recruitment process for boards, commissions and committees	1	2	3	4	5
3	Is effective in planning and organizing the annual Commissioners' dinner and other Council-related special events	1	2	3	4	5
4	Provides organized, accurate Council agendas and packets in a timely manner for all Council meetings	1	2	3	4	5
5	Is effective in recording proceedings and actions of the City Council	1	2	3	4	5
6	Provides effective link between citizens and City Council	1	2	3	4	5
7	Follows City policies in administering Council budget	1	2	3	4	5

Comments and examples:

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3. Relationship with City Employees

1	Demonstrates care about the welfare and success of staff	1	2	3	4	5
2	Is approachable, accessible and friendly	1	2	3	4	5
3	Works to maintain and improve employee moral	1	2	3	4	5
4	Encourages suggestions and feedback from staff at all levels of the organization	1	2	3	4	5
5	Demonstrates appreciation and praise for good work and efforts	1	2	3	4	5

Comments and examples:

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4. Relationship With the City Manager/Department Heads:

1	Works well with the City Manager, City Attorney and/or other members of the management team	1	2	3	4	5
2	Team player	1	2	3	4	5

Comments and examples:

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5. Administration of the Office of the City Clerk

1	Is effective in conducting the City of Mountain View election process, including coordinating the filing of FPPC documents	1	2	3	4	5
2	Maintains City information and records in a manner that is easily retrievable and accessible	1	2	3	4	5
3	Effectively administers the City's Conflict of Interest Code	1	2	3	4	5
4	Inspires teamwork and cooperation	1	2	3	4	5
5	Maintains (and sets a personal example) for high standards of honesty, integrity and trust	1	2	3	4	5
6	Delegates sufficiently – while being aware of details	1	2	3	4	5
7	Provides guidance and direction to the staff	1	2	3	4	5
8	Is action and results-oriented – and expects this from staff	1	2	3	4	5
9	Exercises leadership in identifying new methods and best practices	1	2	3	4	5
10	Emphasizes staff coordination and communication	1	2	3	4	5
11	Encourages education and professional development to stay current on new methods and technology	1	2	3	4	5

Comments and examples:

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6. Effective Service Delivery

1	Maintains cooperative, friendly relationships with the public, City employees and the media	1	2	3	4	5
2	Represents the City in a professional, competent manner	1	2	3	4	5
3	Monitors progress of key department projects and goals	1	2	3	4	5
4	Maintains effective and cooperative relationship with local cities and other governmental agencies	1	2	3	4	5
5	Maintains calm, professionalism, and confidence during difficult times	1	2	3	4	5

Comments and examples:

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7. Customer Service and Communication with the Public

1	Engenders customer satisfaction/service as a fundamental value in the organization	1	2	3	4	5
2	Encourages citizen feedback and acts on this information	1	2	3	4	5
3	Is accessible to the public and effectively communicates to members of the public	1	2	3	4	5
4	Ensures quick follow-up and resolution to citizen complaints and requests for service	1	2	3	4	5
5	Can communicate effectively and clearly in writing	1	2	3	4	5
6	Maintains effective working relationships with community groups/organizations	1	2	3	4	5
7	Is able to make effective public presentations	1	2	3	4	5

Comments and examples:

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8. Other Personal Characteristics

1	Is a person of high integrity, honesty and trustworthiness	1	2	3	4	5
2	Has a well-regarded professional reputation	1	2	3	4	5
3	Friendly, personable, approachable	1	2	3	4	5
4	Is committed to personal professional development	1	2	3	4	5
5	Demonstrates leadership	1	2	3	4	5
6	Has a high energy-level and work ethic	1	2	3	4	5
7	Is optimistic, enthusiastic, idealistic and cooperative	1	2	3	4	5

Comments and examples:

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**Summary of City Council Feedback Form  
City Attorney  
Evaluation**

**I. PERFORMANCE RATINGS**

On a scale of 0 to 5 (5 being highest), please rate Pamela’s performance over the past year on each of the primary performance dimensions below, by circling one number – or “N/S” for not sure:

**Leadership** – Provides sound leadership in running department and providing legal expertise to the City; role models City’s values and is approachable to staff and community members; communicates effectively and is well-versed on legal affairs; aligns staff and financial resources with Council priorities and the needs of the community.

**Rating:**      **0**          **1**          **2**          **3**          **4**          **5**          **N/S**

**Credibility** – Holds self and staff to highest standards; is candid and up-front in dealing with issues and people; is viewed as trustworthy, ethical and a credible representative of the City.

**Rating:**      **0**          **1**          **2**          **3**          **4**          **5**          **N/S**

**Accountability/Service Delivery** - Holds self and staff accountable for decisions and expected outcomes of the City Council and community; creates an organizational culture of customer service and commitment to exceptional service; makes difficult decisions when needed and insures legal staff meets expectations.

**Rating:**      **0**          **1**          **2**          **3**          **4**          **5**          **N/S**

**Personal Development** – Leads by example and develops own skills as leader and City Attorney. Assesses own skills and has awareness of self and areas for further development.

**Rating:**      **0**          **1**          **2**          **3**          **4**          **5**          **N/S**

**Execution of Council Direction as it relates to legal matters**– Ensures legal action and plans are implemented consistent with Council direction and develops legal strategies that are within the best interest of the City.

**Rating:**      **0**          **1**          **2**          **3**          **4**          **5**          **N/S**

**In your view:**

**What is one area where the Attorney can improve in the position?**

**Additional Comments:**

**City Council Annual Performance Evaluation  
City Manager**

**I. PERFORMANCE RATINGS**

On a scale of 0 to 5 (5 being highest), please rate Bob's performance over the past year on each of the primary performance dimensions below, by circling one number – or "N/S" for not sure:

**Leadership** – Provides sound organizational leadership by providing vision and purpose for the organization; role models City's values and is approachable to staff and community members; communicates effectively and is well-versed on municipal affairs; aligns staff and financial resources with Council priorities and the needs of the community.

**Rating:**      **0**      **1**      **2**      **3**      **4**      **5**      **N/S**

**Comments:**

**Credibility** – Holds self and staff to highest standards; is candid and up-front in dealing with issues and people; is viewed as trustworthy, ethical and a credible representative of the City.

**Rating:**      **0**      **1**      **2**      **3**      **4**      **5**      **N/S**

**Accountability/Service Delivery** - Holds self and staff accountable for decisions and expected outcomes of the City Council and community; creates an organizational culture of customer service and commitment to exceptional service; makes difficult decisions when needed and insures staff meets expectations.

**Rating:**      **0**      **1**      **2**      **3**      **4**      **5**      **N/S**

**Comments:**

**Staff Development** – Encourages and provides resources for staff development and training to increase organizational effectiveness and commitment. Promotes skill and competency advancement and challenges staff to look for creative and innovative methods to deliver municipal services. Continually analyzes workforce demographics and competencies to strategically plan workforce development.

**Rating:**      **0**      **1**      **2**      **3**      **4**      **5**      **N/S**

**Comments:**

**Personal Development** – Leads by example and develops own skills as leader and City Manager. Seeks out expertise of leadership coaches and/or consultants to enhance effectiveness as organizational leader. Assesses own skills and has awareness of self and areas for further development.

**Rating:**      **0**      **1**      **2**      **3**      **4**      **5**      **N/S**

**Execution of Council Priorities** – Ensures organization is aligned with Council priorities and moving priorities forward as directed by Council. Updates council and staff on status of priorities and develops plans and strategies to bring Council priorities to fruition.

**Rating:**      **0**      **1**      **2**      **3**      **4**      **5**      **N/S**

**Comments:**

Mayor Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

City Manager Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

This evaluation was presented and discussed with the City Manager at a closed session on \_\_\_\_.

City Council:

\_\_\_\_\_ Date \_\_\_\_\_  
Mayor

\_\_\_\_\_ Date \_\_\_\_\_  
City Manager





## City Attorney Annual Performance Report

*Please prepare a written report using the questions below as a guide. Your report should not exceed ten pages. You may attach supporting documentation to your report.*

### **Part I. Provision of Legal Services (33%)**

Please discuss your year's performance results by commenting on the following areas and questions:

#### A. Provision of Major Legal Services

Please discuss the major legal services your office has initiated or responded to over the past year. Major legal services cover attorney, advocate and litigator functions (e.g., litigation, special projects, major negotiations and hearings, and specific major ongoing responsibilities directly related to City Council decisions, policies or actions). Your discussion should address factors such as:

- The degree of success in providing major legal services given the strengths and weaknesses of the City's legal position in each situation.
- The degree of success in implementing Council decisions and enforcing City ordinances and codes in a cost-effective manner and achieving the City's primary objective of voluntary compliance.

#### B. Provision of Legal Services – Routine Activities

Please discuss the provision of routine legal services over the past year. Routine legal services cover such functions as: legal analysis, the routine provision of legal advice, and the effective preparation of legal documents (ordinances, resolutions, contracts, etc.) Your discussion should address factors such as:

- Your success in providing analysis that facilitated legally sound policy/program implementation).
- How well prepared legal documents (ordinances, resolutions, contracts, etc.) reflected the purposes for which they were prepared.

C. Budget and Service Delivery Performance

How have you managed your department's budget to assure that:

- Savings are attempted without service reductions?
- Services are provided at the level and quantity provided for in the budget?
- Expenditures are within budgetary constraints set by Council?

D. Unusual Circumstances (Information Only – Not for Rating)

- Please describe any unusual or extenuating circumstances that have influenced your ability to perform your duties over the past year (e.g., additional significant assignments, high public interests in specific projects; overcoming the loss of key personnel, etc.).

**Part II. Managerial Effectiveness (33%)**

1. Please discuss significant developments or activities in how you achieved your results. How have you improved your organization over the past two years? Examples of topics to discuss in this area include:
  - customer service initiatives;
  - examples of leadership you have provided,
  - innovations you have initiated or completed;
  - strategic planning initiatives started or completed;
  - the quality of your communications with the public and City staff; and
  - (examples of your ability to support and secure the support of other Council appointees to complete interdepartmental projects and activities and/or to implement interdepartmental services, recommendations or policies.
2. What have you done in the past year to enhance your professional skills, knowledge and capabilities?
3. What have you done to encourage your staff to improve its professional skills, knowledge and capabilities?
4. Please note any significant awards or other recognition you or your organization received in the past year.

### **Part III. Council Relations (33%)**

Please discuss your relationship with the City Council and other appointees over the past year. Examples of topic areas could include the following:

1. How well have you kept the Council and staff informed of key legal issues, court rulings and administrative decisions affecting the legal interests of the City? Please provide examples.
2. Discuss the timeliness of the legal services you have provided. Were Council and/or staff able to act in a timely fashion?
3. Have reports to Council from your department been prepared and ready for presentation as originally scheduled at least 50% of the time? If not, please provide an explanation.

### **Part IV. Current Year Achievement Plan (Information Only)**

Please prepare an achievement plan outlining any special projects or significant activities the City organization under your authority plans to focus on in the current year. The achievement plan may not exceed three pages.

#### Special Projects and Significant Activities

Special projects or significant activities are *major one-time items* that will require significant City organization resources in the upcoming year and are in addition to projects, programs, and activities routinely undertaken as part of ongoing responsibilities. These items would normally be initiated and concluded in the same fiscal year but multi-year projects and activities can be listed if there are significant milestones that will be achieved in the current fiscal year. Examples of special projects or significant activities would include such items as:

- major items identified for study or action by Council;
- major capital projects;
- projects or activities related to: 1) ensuring City compliance with federal or state laws and mandates; 2) the prevention of avoidance of litigation; and/or 3) the litigation of specific issues;
- major interdepartmental projects leading to improved customer service and/or budget savings;
- the initiation of significant new services;
- major negotiations;
- significant research, studies or audits that will lead to new services or facilities and/or significant budget savings; or
- major strategic planning initiatives.

For each major project or significant activity, at minimum, please provide the following information:

1. A short description of the project or activity.
2. The purpose, anticipated outcome and/or benefits of the project (e.g., improving customer serving by reducing customer wait time by 10%; a facility that will extend or improve customer service to X number of residents; a program that will achieve the same service at X% lower cost, etc.).
3. When the project or activity will be completed or what major milestone will be achieved in the current fiscal year.

### Professional Development

Please identify any professional growth or training objectives you will pursue in current fiscal year for your staff or yourself.

### Finalizing the Plan

These special projects and significant activities, along with your routine responsibilities, will become the basis for evaluating your performance at the end of the current fiscal year. In preparing your performance report for the current year, you will be required to report on the results of these special projects and significant activities.

At its discretion, the City Council may:

1. add or reduce the number of items in your achievement plan;
2. add specific areas for improvement; and/or

Once there is agreement between you and the Council on the current year's achievement plan, please provide a final draft to the Mayor. That document will be the basis for future reviews.

## **Council Appointee Annual Performance Report** (except City Attorney)

*Please prepare a written report using the questions below as a guide. Your report should not exceed ten pages. You may attach supporting documentation to your report.*

### **Part I. Results/Accomplishments (33%)**

Please discuss your Department's/Agency's past years' performance by commenting on the following areas and questions:

#### **A. Significant Accomplishments/Results**

What significant accomplishments/results have you achieved in the past year? Examples of significant accomplishments/results could include:

- significantly improved internal/external customer service quantity or quality at the same or lower cost (e.g., through the use of technology, adoption of improved/more efficient procedures, staff training, innovative initiatives, etc.);
- identifying significant one-time or ongoing savings;
- significant policy development accomplishments;
- major capital projects completed or milestones reached;
- major negotiations undertaken and/or completed;
- major strategic planning initiatives undertaken and/or completed;
- major new services initiated; and
- any other significant accomplishments/results going above and beyond the normal expectations of your position.

For each accomplishment/result, please provide the following information:

- a brief description of the accomplishment/result;
- a brief explanation of the actual/expected outcome(s) and benefits.

#### **B. Budget and Service Delivery Performance:**

How have you managed your department's/the Agency's budget to assure that:

- Services are provided at the level and quantity provided for in the budget?
- Expenditures are within budgetary constraints?
- Savings are attempted without service reductions?

C. Unusual Circumstances (Information Only – Not for Rating)

- Please describe any unusual or extenuating circumstances that have influenced your ability to perform your duties over the past year (e.g., additional significant assignments, high public interests in specific projects, overcoming the loss of key personnel, etc.).

**Part II. Managerial Effectiveness (33%)**

1. Please discuss how you achieved your results. How have you improved your organization over the past year? Examples of topics to discuss in this area include:
  - customer service initiatives;
  - examples of leadership you have provided,
  - innovations you have initiated or completed;
  - strategic planning initiatives started or completed;
  - the quality of your communications with the public and City staff; and
  - examples of your ability to support and secure the support of other Council appointees to complete interdepartmental projects and activities and/or to implement interdepartmental services, recommendations or policies.
2. What have you done in the past year to enhance your professional skills, knowledge and capabilities?
3. What have you done to encourage your staff to improve its professional skills, knowledge and capabilities?
4. Please note any significant awards or other recognition you or your organization received in the past two years.

Achievement Plan Results Not Accomplished

What major goals in your Achievement Plan were not accomplished and why?

**Part III. Council Relations (33%)**

1. Please give significant examples of how responsive you believe you have been to Council requests for information and constituent resolution.
2. Have you kept the Council informed of key issues, developments or trends so that Council may take timely action or avoid adverse impacts? Please provide examples.
3. Have reports to Council from your department been prepared and ready for presentation as originally scheduled at least 50% of the time? If not, please provide an explanation.

#### **Part IV. Current Year Achievement Plan (Information Only)**

Please prepare an achievement plan outlining any special projects or significant activities the City organization under your authority plans to focus on in the current year. The achievement plan may not exceed three pages.

##### Special Projects and Significant Activities

Special projects or significant activities are *major one-time items* that will require significant City organization resources in the upcoming year and are in addition to projects, programs, and activities routinely undertaken as part of ongoing responsibilities. These items would normally be initiated and concluded in the same fiscal year but multi-year projects and activities can be listed if there are significant milestones that will be achieved in the current fiscal year. Examples of special projects or significant activities would include such items as:

- major items identified for study or action by Council;
- major capital projects;
- projects or activities related to: 1) ensuring City compliance with federal or state laws and mandates; 2) the prevention of avoidance of litigation; and/or 3) the litigation of specific issues;
- major interdepartmental projects leading to improved customer service and/or budget savings;
- the initiation of significant new services;
- major negotiations;
- significant research, studies or audits that will lead to new services or facilities and/or significant budget savings; or
- major strategic planning initiatives.

For each major project or significant activity, at minimum, please provide the following information:

1. A short description of the project or activity.
2. The purpose, anticipated outcome and/or benefits of the project (e.g., improving customer serving by reducing customer wait time by 10%; a facility that will extend or improve customer service to X number of residents; a program that will achieve the same service at X% lower cost, etc.).
3. When the project or activity will be completed or what major milestone will be achieved in the current fiscal year.

##### Professional Development

Please identify any professional growth or training objectives you will pursue in current fiscal year for your staff or yourself.

### Finalizing the Plan

These special projects and significant activities, along with your routine responsibilities, will become the basis for evaluating your performance at the end of the current fiscal year. In preparing your performance report for the current year, you will be required to report on the results of these special projects and significant activities.

At its discretion, the City Council may:

1. add or reduce the number of items in your achievement plan;
2. add specific areas for improvement; and/or

Once there is agreement between you and the Council on the current year's achievement plan, please provide a final draft to the Mayor. That document will be the basis for future reviews.





# Council Appointee Rating Form

Appointee: \_\_\_\_\_

Councilmember: \_\_\_\_\_

**Possible Evaluation Determinations for Each Part:**

Outstanding: 90-100; Superior: 80-89; Satisfactory: 70-79; Needs Improvement: 60-69; Unsatisfactory: 50-59

**Part I. Results/Accomplishments (Provision of Legal Services for City Attorney)**

(Budget and service delivery performance based on Council-approved budget and significant results and accomplishments)

Rating \_\_\_\_\_ x (33%) = \_\_\_\_\_

**Comments:** \_\_\_\_\_

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**Part II. Managerial Effectiveness**

(Leadership, personal and staff development, organizational/managerial effectiveness)

Rating \_\_\_\_\_ x (33%) = \_\_\_\_\_

**Comments:** \_\_\_\_\_

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**Part III. Council Relations**

(Communications with Council/Appointee, following Council budget and policy direction, and providing Council assistance and support)

**Rating**                      \_\_\_\_\_ x (33%) = \_\_\_\_\_

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Total Weighted Score**                      (100%)                      \_\_\_\_\_  
(Round to nearest whole number)

# Performance Rating Categories

In rating Appointee performance, the following categories are to be considered:

Rating	Score	Comments
Outstanding	90-100 points	Consistently exceeds and/or far exceeds the work standards, goals, objectives or expectations of the position.
Superior	80-89 points	Usually exceeds the work standards, goals, objectives or expectations of the position.
Satisfactory	70-79 points	Meets the work standards, goals, objectives or expectations of the position in a timely manner.
Needs Improvement	60-69 points	Sometimes does not meet the work standards, goals, objectives or expectations of the position (less than 25% of the time).
Unsatisfactory	50-59 points	Often does not meet the work standards, goals, objectives or expectations of the position (more than 25% of the time).

For each of the three major categories of performance (Results/Accomplishments, Council Relations, Managerial Effectiveness) a score ranging from 50 to 100 may be selected depending on the evaluation of performance in the category. Only one score is given for each category.

Specific performance examples should be cited to justify a rating of Outstanding in any performance category. Examples should be provided to justify a Needs Improvement or Unsatisfactory rating in any performance category.

# CITY MANAGER CHRIS ZAPATA EVALUATION

## PURPOSE OF EVALUATION

- Provide mechanism for annual performance evaluation per contract
- Identify performance objectives
- Determine progress relative to performance objectives and City Council goals
- Allow for two way communication/feedback between City Council and City Manager

- 5 – Outstanding
- 4 – Good
- 3 – Fair
- 2 – Needs Improvement
- 1 – Poor

## PROGRESS ON CITY COUNCIL GOALS

	RATING
<b>Place the City on firm foundation for long term fiscal sustainability</b> EXAMPLES	
<b>Work with community and stakeholders to complete projects/programs for sustainable economic development</b> EXAMPLES	
<b>Provide quality public safety services in partnership with the community</b> EXAMPLES	
<b>Maintain and enhance City Infrastructure</b> EXAMPLES	

<b>RATING</b>	
<b>Support and promote quality of life to enhance community pride</b> EXAMPLES	
<b>Maintain and support strong relationships with School Districts</b> EXAMPLES	

**GENERAL ADMINISTRATION**

**RATING AND PERFORMANCE**

<b>RATING</b>	
<b>Management of the organization</b>	
<b>Execution of policy</b>	
<b>Financial management</b>	
<b>Community Relations</b>	

	<b>RATING</b>
<b>Ethics and legal compliance</b>	
<b>Council and organization communication</b>	
<b>Issue management and judgment</b>	
<b>Innovation and implementation</b>	
<b>Collaboration</b>	
<b>Succession Planning and organizational development</b>	
<b>Responsiveness and quality of work</b>	
<b>TOTAL</b>	

**ACHIEVEMENTS**

**Internal**  
EXAMPLES

**External**  
EXAMPLES

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**AREAS OF IMPROVEMENT**

**MANAGER OBSERVATION AND FEEDBACK TO COUNCIL**

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**COMMENTS**

**RATING PERIOD:** \_\_\_\_\_

**SIGNED BY CITY MANAGER** \_\_\_\_\_

**DATE** \_\_\_\_\_



CITY OF SUNNYVALE  
CITY ATTORNEY EVALUATION  
Option #1

CALENDAR YEAR 2011

The following form is designed for each member of the City Council to 1) complete an evaluation of the City Attorney’s performance for the past year in a number of categories and 2) develop goals and expectations for the coming year.

The form has two sections. The first addresses performance in five categories over the past year. At the end of this section is an overall rating of performance and a space for comments relating to any of the five groups of performance. The second section contains space for development of the goals and objectives for the coming year.

1. Rating of Past Performance

The performance of the City Attorney is to be rated by circling the appropriate number for each characteristic of performance indicated. Each characteristic has three (3) levels of evaluation available as follows:

<b>Rating Scale</b>
1 = Exceeds Standard
2 = Meets Standard
3 = Does Not Meet Standard

The characteristics are grouped with an overall rating for the group using the same number system provided above. At the end of the section is an overall rating for the performance of the City Attorney which is to encompass all the characteristics and groupings.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
A. Working with the City Council	1	2	3

1. Provides the Council with accurate and timely information; provides information aiding the decision-making process; alerts the City Council of legal developments and potential legal problems.
2. Provides information equally to all members.

3. Engenders confidence of the Council for legal issues and working knowledge of the law as it applies to City issues and operations.
4. Shows loyalty and respect for Council and their opinions individually and as a group.
5. Demonstrates sound and mature judgment in recommendations and decisions.
6. Knows when to follow the lead of Council and be supportive and when to take the point on an issue.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
B. Working with City Attorney Staff	1	2	3

1. Generates enthusiasm and confidence among the other attorneys and from support staff in a way which provides them with challenges.
2. Distributes the workload to ensure that work is completed in a timely and competent manner
3. Provides opportunities for personal growth of staff members through special training and assignments.
4. Performs periodic individual evaluations of staff as part of professional development and an overall evaluation of work being completed.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
C. Working with Other City Staff, Commissions, and Public	1	2	3

1. Provides accurate and timely information in response to requests for assistance.
2. Plans and organizes the work of the City Attorney's Office in an effective manner to accommodate the needs of the City and its organization.
3. Provides reasoned, sound direction for implementation of City policies and programs.
4. Acts as a member of the City team in the development of policy recommendations with an approach of meeting the City Council desires.

5. Engenders a strong customer service ethic in the City Attorney's work with the City staff, commissions, and public.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
D. Professional and Ethical Standards	1	2	3

1. Maintains highest standards of professional and ethical conduct and honesty throughout the organization.
2. Deals with ethical problems in a forthright manner.
3. Respects confidence.
4. Assures the legal aspects of City Council policy are implemented and applied in a fair and even-handed manner.
5. Strives to enhance legal knowledge and skills, keeping aware of current developments, writings and research in the legal field and related areas.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
E. Quality of Work	1	2	3

1. Provides professional staff recommendations with appropriate summaries of materials; provides well prepared, effective legal presentations.
2. In presenting the City Council and City Manager with legal advice, identifies policy options and alternatives.
3. Achieves the goals and expectations of the Council.
4. Anticipates future legal needs of the City and develops plans to meet them.
5. Makes good use of outside counsel in completing the City's business.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
F. OVERALL RATING FOR ALL GROUPS	1	2	3



CITY OF SUNNYVALE  
 CITY ATTORNEY EVALUATION  
 Option #2

CALENDAR YEAR 2011

The following form is designed for each member of the City Council to 1) complete an evaluation of the City Attorney’s performance for the past year in a number of categories and 2) develop goals and expectations for the coming year.

The form has two sections. The first addresses performance in five categories over the past year. At the end of this section is an overall rating of performance and a space for comments relating to any of the five groups of performance. The second section contains space for development of the goals and objectives for the coming year.

1. Rating of Past Performance

The performance of the City Attorney is to be rated by circling the appropriate number for each characteristic of performance indicated. Each characteristic has three (3) levels of evaluation available as follows:

<b>Rating Scale</b>
1 = Exceeds Standard
2 = Meets Standard
3 = Does Not Meet Standard

The characteristics are grouped with an overall rating for the group using the same number system provided above. At the end of the section is an overall rating for the performance of the City Attorney which is to encompass all the characteristics and groupings.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
A. Major Legal Services	1	2	3

(Attorney, advocate and litigator functions - litigation, special projects and specific major ongoing responsibilities relative to City Council)

1. Is the legal advice provided by the City Attorney to Council objective/unbiased, professional, and adequate for your use in formulating and implementing legislative policies and projects?

2. Does the City Attorney initiate legal actions, as appropriate, and provide legal defense, as needed?
3. Does the City Attorney represent the City's interests in litigation, administrative hearings, negotiations and similar proceedings in accordance with your direction? How effective is the City Attorney in these activities given the strengths and weaknesses of the City's position in each situation?
4. How effective is the City Attorney at implementing Council's decision and enforcing City ordinances and codes in a cost-effective manner and in accordance with the City's primary objective of achieving voluntary compliance? Is compliance effectively attained?
5. Are the City Attorney's legal services provided in a timely fashion to permit City Council and staff to meet established deadlines?

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
B. Routine Internal Activities <i>(Lawyer, counselor functions)</i>	1	2	3

1. How effectively does City Attorney provide legal analysis which facilitates legally sound policy/program implementation?
2. Does the City Attorney effectively evaluate results of action from a legal perspective?
3. Is the legal advice provided by the City Attorney competent and presented in a constructive, results-oriented and usable manner?
4. Do the legal documents prepared (ordinances, resolutions, contracts, etc.) clearly reflect and implement the purposes for which they are prepared?
5. How effective is the City Attorney at keeping City Council and staff apprised of court rulings and administrative decisions affecting the legal interests of the City?
6. How effectively does the City Attorney coordinate work with staff from other departments in order to accomplish goals? Is inter-departmental work performed in a collaborative manner?

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
C. Management <i>(Leadership and Communication)</i>	1	2	3

1. How effective has the City Attorney been in communicating organizational values, philosophy and vision so that employees throughout the department are energized and motivated and able to focus their efforts to maximize department-wide synergy?
2. How effectively does the City Attorney communicate Council policy to various constituencies, i.e., the media, the public, City Council, the City Manager, employees and employee representatives?
3. Are verbal communications open, responsive, courteous, yet protective of the City's legal position?
4. Are written communications understandable, succinct and appropriate for the audience and purpose intended?
5. Does the City Attorney's communication inform and educate citizens and constituencies affected by issues being addressed by the Council, consistent with the need to avoid jeopardizing the City's legal position?

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
D. Staff Development	1	2	3

1. How effective is the City Attorney at selecting, leading, and developing the professional and clerical staff within the Office of the City Attorney?
2. Is the City Attorney effective and appropriate in delegating authority and responsibility to subordinates?
3. Has the City Attorney taken effective actions to assure a highly motivated, quality professional and clerical team capable of providing excellent customer and client services? Consider those actions that have been effective in this regard.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
E. Organizational/Managerial Effectiveness	1	2	3

1. How effectively does the City Attorney foster cooperation and coordination within the Office of the City Attorney and between this department and other City departments?
2. Has the City Attorney created an effective organizational structure and environment which maximizes the effective provision of legal services?
3. Does the City Attorney anticipate future departmental needs and City wide legal needs and position the department so that it is ready to meet those needs?
4. How effectively does the City Attorney visualize implications of various approaches in solving problems and seeing opportunities?
5. Is the City Attorney willing to take initiative and do what's necessary to get the job done?
6. Is the City Attorney decisive in reaching timely decisions and initiating action?
7. Is the City Attorney flexible, enthusiastic, and cooperative in approaching issues and individuals within and outside of the organization?
8. Does the City Attorney demonstrate openness to alternative approaches and generate enthusiasm for attaining challenges/goals through cooperation?
9. Is the City Attorney able and willing to work cooperatively with Council, City Manager, and staff to achieve results in the best interest of the City?
10. Is the City Attorney honest, sincere, and upright in his/her professional interactions with others?
11. Does the City Attorney display the courage of his/her conviction in a constructive manner?



Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
F. Budget	1	2	3

1. Where services provided consistent with the outcomes specified in the budget?
2. Were expenditures within budgetary constraints?
3. Were savings attempted without service reductions?
4. Was the budget performance monitored and was corrective action taken as necessary?
5. Were service delivery methods evaluated and improved, as appropriate?
6. Did the City Attorney alert Council to changes needed in the departmental budget due to unpredictable occurrences?

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
G. Professional and Career Development	1	2	3

1. Has the City Attorney attained the personal targets and/or Council defined targets for professional and career development that link to areas for growth identified in the current performance plan?
2. Have the training, formal education and/or professional activities planned been accomplished?



CITY OF SUNNYVALE  
CITY MANAGER EVALUATION  
**Option #1**

CALENDAR YEAR 2011

The following form is designed for each member of the City Council to 1) complete an evaluation of the City Manager’s performance for the past year in a number of categories and 2) develop goals and expectations for the coming year.

The form has two sections. The first addresses performance in five categories over the past year. At the end of this section is an overall rating of performance and a space for comments relating to any of the five groups of performance. The second section contains space for development of the goals and objectives for the coming year.

1. Rating of Past Performance

The performance of the City Manager is to be rated by circling the appropriate number for each characteristic of performance indicated. Each characteristic has three (3) levels of evaluation available as follows:

<b>Rating Scale</b>
1 = Exceeds Standard
2 = Meets Standard
3 = Does Not Meet Standard

The characteristics are grouped with an overall rating for the group using the same number system provided above. At the end of the section is an overall rating for the performance of the City Manager which is to encompass all the characteristics and groupings.

**Section I: ASSISTING COUNCIL WITH ITS POLICY-MAKING ROLE**

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
A. Providing Information	1	2	3

The City Manager provides information which is:

1. Detailed and reliable.

2. Explained in a thorough manner and includes alternatives or recommendations.
3. Timely.
4. Helpful in preventing trivial administrative matters from being reviewed by the Council.
5. Helpful and adequate to assist City Council in making sound decisions.

The City Manager:

1. Provides members of City Council with the opportunity to set long-term organizational goals and to establish the future direction of City policy.
2. Keeps City Council informed, in a timely manner, of the things Council wants to know.
3. Keeps City Council well informed with concise written and oral communications.
4. Provides City Council members with information on an equal basis.
5. Informs the City Council of administrative developments.
6. Follows up in a timely manner on City Council requests for information or action.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
B. Providing Advice	1	2	3

The City Manager:

1. Has adequate knowledge of municipal affairs including the City's laws and ordinances.
2. Considers alternatives before making recommendations.
3. Plans ahead, anticipates needs and recognizes potential problems.
4. Has a good sense of timing in bringing issues to the Council for action.

SECTION II: INTERNAL ADMINISTRATION

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
A. Implementation of Council Policies	1	2	3

The City Manager is effective in the following areas:

1. Carrying out Council directives.
2. Assigning work so that it is performed efficiently and effectively.
3. Paying sufficient attention to detail to avoid error or things “slipping through the cracks.”
4. Analyzing problems or issues and identify causes, reason, and implications.
5. Accurately interpreting the direction given by Council.
6. Carrying out the directives of Council as a whole rather than those of any one Council member, but recognizes the concerns of the minority.
7. Supporting the actions of the City Council after a decision is made.
8. Assuming responsibility for staff performance.
9. Providing members of City Council with periodic status reports on projects or tasks which may overlap months or years in implementation.
10. Insuring that the management staff maintains normal service delivery operations as well as the flexibility to manage emergency situations.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
B. Financial Management	1	2	3

Are you satisfied with the City Manager’s:

1. Approach to budget preparation and review?
2. Use of standard financial management procedures to meet Council’s policy guidelines?

3. Implementation of Council's policy regarding the expenditure of budgeted funds?
4. Cost control through economical use of labor, materials, and equipment?
5. Information on the financial status of City government?
6. Use of available funds and his ability to operate the City efficiently and effectively?
7. Knowledge of financial matters?
8. Information pertaining to long or short-term financing for capital projects or equipment purchases?
9. Information on opportunities for federal and state grant funding?

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
C. Personnel Management	1	2	3

The City Manager is:

1. Successful in guiding people as a team toward common objectives.
2. Effective in selecting qualified and highly competent staff members.
3. Effective in maintaining professional relationships with Department Directors.
4. Effective in assuring that staff members make a positive impression on citizens.

The City Manager:

1. Insures that the City's personnel policies and practices are administered by City Department Directors and management staff in an equitable manner.
2. Develops and motivates employees so that they are increasingly effective.
3. Addresses disciplinary problems and takes action when warranted.
4. Monitors performance of employees and initiates corrective action as needed.

SECTION III: EXTERNAL RELATIONS

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
A. Citizen Relations	1	2	3

The City Manager:

1. Makes a positive impression on citizens and is respected in the City of Sunnyvale.
2. Has appropriate visibility or identity in the community.
3. Assists the Council in resolving problems at the administrative level to avoid unnecessary Council action.
4. Willing to meet with members of the community and discuss issues of concern.
5. Skillful with the news media, avoiding political positions and partisanship.
6. Provides information to the public in a timely fashion on matters which will cause public reaction.
7. Represents Council positions and policies accurately and effectively.
8. Thinks and acts in a manner reflecting an attitude that client (Council, staff or citizens) perceptions and satisfactions are important.
9. Responds completely and in a timely manner to citizen complaints.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
B. Intergovernmental Relations	1	2	3

The City Manager is:

1. Effective representing the City's interests in dealing with other agencies.
2. Participative in enough intergovernmental activity to have an impact on behalf of the City.
3. Cooperative with the county, state, and federal governments.

SECTION IV: PERSONAL ACCOMPLISHMENTS

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
A. Communications	1	2	3

With regard to communications, the City Manager is:

1. Easy to talk to and a good listener.
2. Thoughtful, clear and to the point.
3. Sensitive to the concerns of others.
- ++-\* 4. Candid and forthright in discussing City business matters with members of City Council.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
B. Management Style	1	2	3

The City Manager:

1. Demonstrates interest and enthusiasm in performing his duties.
2. Commands respect and good performance from staff.
3. Shows initiative and creativity in dealing with issues, problems and unusual situations.
4. Is open to new ideas and suggestions for change.
5. Works well under pressure.
6. Consistently puts aside personal views and implements Council policy and direction.
7. Displays the ability to resolve the numerous conflicts inherent in municipal government.
8. Responds will to a changing world and local conditions; is adaptive.
9. Is accessible to City Council members.



- 10. Conforms to the high standards of the profession; follows the “ICMA Code of Ethics.”
- 11. Exhibits a commitment to continuing education in order to encourage his professional development.
- 12. Is receptive to constructive criticism and advice.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
C. Job Effectiveness	1	2	3

The City Manager:

- 1. Demonstrates interest and enthusiasm about the Council’s Vision for the City.
- 2. Gives his staff the tools necessary to provide efficient, responsive City services.
- 3. Coordinates the implementation of City goals and objectives.
- 4. Supports policies that will promote annexation and growth in the City of Sunnyvale.
- 5. Creates a positive atmosphere for successful economic development in the City.
- 6. Supports responsible infrastructure expansion and maintenance.
- 7. Emphasizes the need for employee training and technological improvements.

**SECTION V: NARRATIVE RESPONSES**

What were the City Manager’s most notable accomplishments during the past year?

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Which of the City Manager's qualities were most instrumental in fulfilling the role of City Manager this past year?

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**PERFORMANCE OBJECTIVES FOR COMING YEAR:**

What does the City Manager do that you would like him to continue?

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Is there anything that the City Manager does that you would like him to do differently?

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CITY OF SUNNYVALE  
CITY MANAGER EVALUATION  
Option #2

CALENDAR YEAR 2011

The following form is designed for each member of the City Council to 1) complete an evaluation of the City Manager’s performance for the past year in a number of categories and 2) develop goals and expectations for the coming year.

The form has two sections. The first addresses performance in five categories over the past year. At the end of this section is an overall rating of performance and a space for comments relating to any of the five groups of performance. The second section contains space for development of the goals and objectives for the coming year.

1. Rating of Past Performance

The performance of the City Manager is to be rated by circling the appropriate number for each characteristic of performance indicated. Each characteristic has three (3) levels of evaluation available as follows:

Rating Scale
1 = Exceeds Standard
2 = Meets Standard
3 = Does Not Meet Standard

The characteristics are grouped with an overall rating for the group using the same number system provided above. At the end of the section is an overall rating for the performance of the City Manager which is to encompass all the characteristics and groupings.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
A. Performance Goals	1	2	3

1. Planning and organization.
2. Proactive in recommending and carrying out Council Policies (Initiative).
3. Council priorities list (results/accomplishments).

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
B. Leadership	1	2	3

1. Provides direction or flexibility appropriately, depending upon circumstances.
2. Is a positive role model for City staff.
3. Maintains good staff relations.
4. Avoids conflicts of interest - trustworthy.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
C. Communications	1	2	3

1. Written
  - a. Provides appropriate information in a timely manner sufficient to keep Council informed.
  - b. Follows through with commitments.
2. Verbal
  - a. Provides appropriate information in a timely manner sufficient to keep Council informed.
  - b. Follows through with commitments.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
D. Customer Service	1	2	3

1. Promotes an organizational culture of responsiveness and customer satisfaction.
2. Personally responsive to citizen complaints.
3. Deals diplomatically with angry or dissatisfied citizens.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
E. Council Relations	1	2	3

1. No surprises. Informs Council Members of important events in the community prior to information becoming public knowledge
2. Balances information and attention among all Council Members equally.
3. Training of new Council Members. Assists new Council Members.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
F. Intergovernmental Relations	1	2	3

1. Participates in meetings of the Santa Clara County City Manager's Association.
2. Meets with CEO's of organizations in the community on a regular basis.
3. Maintains regular contact with the Elected County and State officials and staff to represent the City's interests.
4. League of Cities and West Valley Mayors and Managers.

Rating Scale	Exceeds Standard	Meets Standard	Does Not Meet Standard
G. Management	1	2	3

1. Technical competency.
2. Delegation.
3. Accountability-Management team and myself.
4. Promotes teamwork among staff.
5. Supports and promotes best practices.
6. Succession planning.



City Manager Evaluation

Performance Review Prepared By: \_\_\_\_\_

Date of Review: \_\_\_\_\_

<b>1 UNSATISFACTORY</b>
Performance does not meet job requirements.

<b>2 IMPROVEMENT NEEDED</b>
Performance partially meets requirements of job.

<b>3 SATISFACTORY</b>
Performance adequately meets job requirements.

<b>4 EXCEPTIONAL</b>
Performance is excellent. Exceeding job requirements.

**APPLICATION OF MANAGEMENT SKILLS**

**1. PERSONNEL DEVELOPEMENT**

Appoints and trains effective department managers.  
Retains excellent staff.

Ratings: 1 = UNSATISFACTORY      3 = SATISFACTORY  
          2 = IMPROVEMENT NEEDED    4 = EXCEPTIONAL

Rating: \_\_\_\_\_

COMMENTS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**2. SUPERVISION**

Directs staff and controls their efforts.  
Encourages initiative.  
Is available to employees for guidance.  
Evaluates personnel and suggests ways for them to improve.

Rating: \_\_\_\_\_

COMMENTS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**3. EXECUTION OF POLICY**

Understands and complies with the overall policy and philosophy of the organization and the City Council.  
Efforts lead to successful accomplishemnts of goals.  
Measures results against goals and takes corrective action.

Rating: \_\_\_\_\_

COMMENTS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**4. PLANNING**

Understands the City's policies, objectives, and practices.  
Translates these into specific programs.

Rating: \_\_\_\_\_

COMMENTS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



<b>1 UNSATISFACTORY</b>
Performance does not meet job requirements.

<b>2 IMPROVEMENT NEEDED</b>
Performance partially meets requirements of job.

<b>3 SATISFACTORY</b>
Performance adequately meets job requirements.

<b>4 EXCEPTIONAL</b>
Performance is excellent. Exceeding job requirements.

**5. LEADERSHIP**

Motivates others to maximum performance.  
Is demanding but fair.  
Gets enthusiastic responses to new ideas and needed reorganizations.

Rating: \_\_\_\_\_

**6. JOB ORGANIZATION**

Delegates responsibility but handles City Manager responsibilities efficiently.  
Uses time productively.  
Programs activities in an orderly and systematic way.

Rating: \_\_\_\_\_

**7. COMMUNICATION**

Keeps the City Council informed.  
Presents thoughts in an orderly, understandable manner.  
Written correspondence is clear, concise, and accurate representation of City Council policy.

Rating: \_\_\_\_\_

**EXTERNAL RELATIONSHIPS**

**8. COMMUNITY REPUTATION**

The general attitude of the community toward the Manager  
Regarded as a person of high integrity, ability, and devotion to the City.

Rating: \_\_\_\_\_

**9. PROFESSIONAL REPUTATION**

Respected by others in the profession.  
Deals effectively with other City Managers.  
Is respected by other professional and staff representatives of adjacent cities and the County.

Rating: \_\_\_\_\_

COMMENTS \_\_\_\_\_

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COMMENTS \_\_\_\_\_

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COMMENTS \_\_\_\_\_

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COMMENTS \_\_\_\_\_

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COMMENTS \_\_\_\_\_

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<b>1 UNSATISFACTORY</b>
Performance does not meet job requirements.

<b>2 IMPROVEMENT NEEDED</b>
Performance partially meets requirements of job.

<b>3 SATISFACTORY</b>
Performance adequately meets job requirements.

<b>4 EXCEPTIONAL</b>
Performance is excellent. Exceeding job requirements.

**10 INTERGOVERNMENTAL RELATIONS**

Works closely with other Federal, State, and local government representatives.  
Provides requested assistance to other adjacent cities and the County.

Rating: \_\_\_\_

COMMENTS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**11. COMMUNITY RELATIONS**

Skilled in representing the City before the media, community, organizations, etc.  
Shows an honest interest in the community.  
Properly advocates for the City and its reputation.

Rating: \_\_\_\_

COMMENTS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**PERSONAL CHARACTERISTICS**

**12. IMAGINATION**

Shows originality in approaching problems.  
Creates effective solutions.  
Is able to visualize the implications of various approaches.

Rating: \_\_\_\_

COMMENTS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**13. OBJECTIVITY**

Is unbiased.  
Takes a reasonable and rational viewpoint based on facts and qualified opinions.

Rating: \_\_\_\_

COMMENTS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**14. DRIVE**

Is energetic, willing to spend whatever time is necessary to do a good job.  
Has mental and physical stamina.

Rating: \_\_\_\_

COMMENTS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

1	<b>UNSATISFACTORY</b>
Performance does not meet job requirements.	

2	<b>IMPROVEMENT NEEDED</b>
Performance partially meets requirements of job.	

3	<b>SATISFACTORY</b>
Performance adequately meets job requirements.	

4	<b>EXCEPTIONAL</b>
Performance is excellent. Exceeding job requirements.	

15. DECISIVENESS

Is able to reach timely decisions and initiate action, but not be compulsive.

Rating. \_\_\_\_

16. ATTITUDE

Is enthusiastic, cooperative, and adaptive.

Rating. \_\_\_\_

17. FIRMNESS

Has the courage of his convictions  
Is firm when convinced, but not stubborn.

Rating. \_\_\_\_

18. EMOTIONAL STABILITY

Is steady and reliable.  
Does not become rattled under pressure -- thinks clearly in pressure situations.  
Controls emotions in difficult situations so that performance is not affected.

Rating. \_\_\_\_

19. PERSONAL APPEARANCE

Is well groomed and provides a professional and representative appearance for the City.

Rating. \_\_\_\_

COMMENTS \_\_\_\_\_  
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COMMENTS \_\_\_\_\_  
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COMMENTS \_\_\_\_\_  
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1	<b>UNSATISFACTORY</b>
Performance does not meet job requirements.	

2	<b>IMPROVEMENT NEEDED</b>
Performance partially meets requirements of job.	

3	<b>SATISFACTORY</b>
Performance adequately meets job requirements.	

4	<b>EXCEPTIONAL</b>
Performance is excellent. Exceeding job requirements.	

20. LOYALTY

Genuine interest in work, job, and the City.  
Willing to do more than is expected.  
Concerned with the City's image and reputation.

Rating: \_\_\_\_

COMMENTS

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21. SUMMARY EVALUATION State the City Manager's overall performance and include an assessment of accomplishments in achieving the goals and objectives established at the beginning of the review period.

22. PERFORMANCE EXPECTATIONS: State specific requirements and time frame expectations.

23. CITY MANAGER'S COMMENTS

RATER'S SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

CITY MANAGER SIGNATURE

DATE \_\_\_\_\_

**ANNUAL PERFORMANCE EVALUATION  
BY MAYOR AND CITY COUNCIL  
FOR CITY ATTORNEY**

The purpose of this procedure is to ensure the orderly evaluation of the office of the City Attorney and the duties performed by that office for the City Council, City staff and residents.	<b>Exceeds expectations (4)</b>				<b>COMMENTS</b>
	<b>Meets expectations (3)</b>				
	<b>Substantially meets expectations (2)</b>				
	<b>Does not meet expectations (1)</b>				
<b>I. PROFESSIONAL SKILLS</b>					
<u>Does the City Attorney:</u> Provide competent legal advice in a useable, understandable manner?					
Prepare ordinances, resolutions, agreements, contracts and other legal documents in a competent manner?					
Represent the City's interests in litigation, administrative hearings, and other similar proceedings?					
Participate in all City Council meetings and provide appropriate legal advice?					
Retain the Mayor's, Council's, and staff's confidence and respect while informing them of the legal risks and consequences that proposed actions might generate?					

<b>II. PLANNING</b>					<b>COMMENTS</b>
<u>Does the City Attorney:</u> Anticipate needs and recognize potential legal problems?					
Respond to requests and complete these requests in a timely manner?					
Organize the Department's resources for maximum efficiency and effectiveness?					
Maintain cooperative working relationships with other City departments, County, State and Federal officials and agencies?					

<b>CITY ATTORNEY EVALUATION</b> Page 2	Exceeds expectations (4)				
	Meets expectations (3)				
	Substantially meets expectations (2)				
	Does not meet expectations (1)				
<b>III. RELATIONSHIPS WITH MAYOR AND COUNCIL</b>					COMMENTS
<u>Does the City Attorney:</u> Work with Mayor and Council to assist in accomplishing their goals in a way that protects the City from liability and does not merely say what cannot be done, but also describes legal alternatives?					
Provide proper legal advice to ensure legality of Mayor's and Council's actions?					
Make herself available to answer questions, hear concerns and receive feedback?					
Inform Mayor and Council of relevant legal trends, precedents and opportunities occurring in the state or other municipalities that have important ramifications for the City?					
Properly defend the City in litigation?					
Make herself familiar with pertinent facts about Mayor and each Council member so he can and does protect each of them from violating legal (including Brown Act), controversial, and ethical issues?					
(Empty section for additional comments or notes)					

CITY ATTORNEY EVALUATION Page 3	Exceeds expectations (4)				COMMENTS
	Meets expectations (3)				
	Substantially meets expectations (2)				
	Does not meet expectations (1)				
<b>IV. INTERPERSONAL RELATIONSHIPS</b>					
Is the City Attorney energetic, enthusiastic and cooperative regarding actions before the City?					
Is there a sense of loyalty and dedication apparent in the City Attorney's actions on behalf of the City?					
Does the City Attorney exercise good judgment in arriving at decisions?					
Does the City Attorney work well with individuals and groups?					
Does the City Attorney enjoy the respect of members of the legal community as well as other members of the municipal law profession?					

<b>V. GENERAL OBSERVATIONS</b>					COMMENTS
Traits, actions and characteristics the Council would most like to see continued:					

Observed actions or traits the Council would most like to see enhanced:					



<b>CITY ATTORNEY EVALUATION</b> Page 4
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<b>OVERALL RATING</b>	
Exceeds Expectations (4)	
Meets Expectations (3)	
Substantially Meets Expectations (2)	
Does Not Meet Expectations (1)	

Dated: \_\_\_\_\_  
Mayor (Name) \_\_\_\_\_

Dated: \_\_\_\_\_  
Vice-Mayor (Name) \_\_\_\_\_

Dated: \_\_\_\_\_  
Councilmember (Name) \_\_\_\_\_

Dated: \_\_\_\_\_  
Councilmember (Name) \_\_\_\_\_

Dated: \_\_\_\_\_  
Councilmember (Name) \_\_\_\_\_

Dated: \_\_\_\_\_  
Councilmember (Name) \_\_\_\_\_

Dated: \_\_\_\_\_  
Councilmember (Name) \_\_\_\_\_

**Received and reviewed with the City Council:**

\_\_\_\_\_  
City Attorney (Name)

\_\_\_\_\_  
Date

## ***Effective Team Assessment***

*(from 25 Activities for Teams by Fran Rees)*

Instructions: Rate your team on each of the following nine dimensions, using a scale of one to seven, to indicate your Assessment of your team and the way it functions. Circle the number on each scale that you feel is most descriptive of your team.

**1. Goals and Objectives**

**1                      2                      3                      4                      5                      6                      7**

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There is a lack of commonly understood goals and objectives.

The team members understand and agree on goals and objectives.

**2. Utilization of Resources**

**1                      2                      3                      4                      5                      6                      7**

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All resources of team members are not fully recognized or utilized.

The resources of all team members are fully recognized and utilized.

**3. Trust and Conflict Resolution**

**1                      2                      3                      4                      5                      6                      7**

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There is little trust among team members, and conflict is evident.

There is high trust among team members and conflict is dealt with openly and worked through.

**4. Leadership**

**1                      2                      3                      4                      5                      6                      7**

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One person dominates, and team-leadership roles are not carried out or shared.

There is full participation in leadership: Leadership roles are shared with team.

**5. Control and Procedures**

**1                      2                      3                      4                      5                      6                      7**

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There is little control, and there is a lack of procedures to guide team functioning.

There are effective procedures to guide team functioning; team members support these procedures and regulate themselves

## Effective Team Assessment

### 6. Interpersonal Communications

**1**                      **2**                      **3**                      **4**                      **5**                      **6**                      **7**

Communications between team members are closed and guarded.

Communications between team members are open and participative.

### 7. Problem Solving and Decision Making

**1**                      **2**                      **3**                      **4**                      **5**                      **6**                      **7**

The team has no agreed upon approaches to problem solving and decision making.

The team has well-established and agreed upon approaches to problem solving and decision making.

### 8. Experimentation and Creativity

**1**                      **2**                      **3**                      **4**                      **5**                      **6**                      **7**

The team is rigid and does not experiment with how things are done.

The team experiments with different ways of doing things and is creative in its approach.

### 9. Evaluation

**1**                      **2**                      **3**                      **4**                      **5**                      **6**                      **7**

The team never evaluates its functioning process.

The team often evaluates its functioning and process.