



SAN FRANCISCO BAY AREA RAPID TRANSIT DISTRICT

PERFORMANCE PLANNING AND EVALUATION INSTRUCTIONS

PURPOSE

The purpose of the District's performance planning and evaluation program is to: promote a shared understanding of performance expectations between employees and their supervisors; provide for meaningful dialogue between the employee and the immediate supervisor about job performance on a regular basis; strengthen the accountability of performance for results; and, establish a tool for providing formal feedback to employees on their job performance and development.

PREPARING FOR PERFORMANCE MANAGEMENT

The process of performance management is the responsibility of the immediate supervisor. Therefore, the comments and ratings must reflect the supervisor's assessment of the previous fiscal year in the performance evaluation and the direction through goals and objectives in the performance plan for the following year. The identification of performance dimensions allows supervisors to communicate key performance factors and expectations, document the job-relevant criteria for evaluating employees.

A Performance Plan and Evaluation Form is required for each Non-Represented and AFSCME employee and is to be submitted to Human Resources, LKS 20, no later than the second Friday in June. The performance evaluation and plan should be discussed and signed both by the employee and the manager.

The Performance Evaluation and the Performance Plan is in one form. The Performance Evaluation addresses performance for the current fiscal year and the Performance Planning section establishes Performance Expectations, Goals, and Objectives the new fiscal year beginning July 1. The performance planning meeting between the supervisor and the employee should include a discussion of both sections. The Performance Dimensions section may include notes about specific expectations in one or more categories, as well as an indication of which areas are particularly important. The Performance Planning Section of the form is for the supervisor to record specific Performance Dimensions for the following fiscal year, along with appropriate measurement criteria.

To the extent that a performance-based compensation pool is established in the future for any evaluation period, this Performance Planning and Evaluation document will form the basis of the performance component of that award.

PERFORMANCE EVALUATION & PLANNING

The Performance Dimensions are listed on the Performance Evaluation and Planning form and help to establish common elements among District jobs. The Dimensions are listed on the far left column and correspond below with the following descriptions that provide additional information about each dimension.

1. SAFETY (MANDATORY)

- Is sensitive to the safety implications of the full range of District activities, and takes action accordingly.
- Takes affirmative steps to establish and strengthen a culture of safety in all workplace environments.
- Prioritizes safety in the assessment of the course of action in all situations.
- Ensures mandatory training is scheduled and attended.

2. EEO / DBE / Title VI/ Environmental Justice (EJ) / AB 1825 Prevention of Sexual Harassment (MANDATORY)

- Supports goals and objectives of Civil Rights programs, policies and/or procedures with respect to the following:
 - EEO (Equal Employment Opportunity)
 - DBE (Disadvantage Business Enterprise)
 - Title VI/Environmental Justice (Title VI of the Civil Rights Act and Environmental Justice)
 - AB 1825 (Prevention of Sexual Harassment in the Workplace Training – **This workshop is mandatory for Lead and/or Supervisory Personnel**)

3. CUSTOMER SERVICE (Internal and External) (MANDATORY)

- Is able to work effectively with both internal and external agencies.
- Understands who the customer is and works to anticipate and meet their needs.
- Models a customer service orientation to internal and external, staff, and partners.
- Provides response to requests within a reasonable time frame.
- Solicits feedback from internal and external customers to measure service effectiveness.

4. LEADERSHIP/INITIATIVE

- Is able to elicit respect from those he/she comes in contact with, including those supervised.
- Demonstrates appropriate confidence and assertiveness.
- Presents a positive outlook and is willing to devote the time and effort necessary to get the job done.
- Elicits and encourages new ideas, processes and procedures.
- Demonstrates enthusiasm in responding to new challenges.
- Is a “self-starter” and develops new ideas, methods, and procedures.

- Develops challenging goals and objectives that correspond to overall District goals and objectives.
- Models behavior expected from co-workers including: respect, courtesy, and effective and efficient use of time and resources.
- Solicits input from employees and other stakeholders to encourage collaboration, professional development of staff and effective decision making.
- Performs responsibilities in a timely manner and does not require direction and/or instruction beyond what would typically be expected of the position.
- Anticipates program needs/issues, provides appropriate analysis and recommendations to supervisor or manager.

5. OWNERSHIP/ACCOUNTABILITY

- Looks for opportunities to improve the quality, efficiency and effectiveness of District services, and takes responsibility for moving them forward.
- Accepts responsibility for behavior of subordinates (if any).
- Takes personal responsibility for understanding and addressing issues arising from his/her work.
- Monitors budget for area of program responsibility and ensures efficient use of District resources (if applicable).

6. PLANNING/ORGANIZATION

- Establishes a course of action for self and/or others to accomplish specific goals.
- Plans proper assignment of personnel and appropriate use of resources.
- Understands and applies the concept of “completed” staff work.
- Keeps appropriate manager advised of the status of projects and work assignments.

7. FLEXIBILITY/ADAPTABILITY

- Listens to suggestions and considers other points of view.
- Is able to effectively handle a variety of projects and assignments.
- Changes behavior or attitudinal responses to fit the situation and work assignment in order to obtain the desired goal.
- Effectively prioritizes workload and can reassess as needed to respond to program needs.

8. PROBLEM SOLVING/DECISION-MAKING

- Knows when to take action and what action is appropriate.
- Evaluates alternative courses of action and makes a logical decision; uses good judgment and common sense in making decisions.
- Can analyze facts, information and evidence in a logical sequence so that he/she can see the similarities and differences between situations.
- Is able to anticipate events and respond appropriately.
- Recognizes problems and develops alternative solutions for consideration by appropriate higher level staff.

- Effectively determines when to take immediate action to solve a problem versus when to notify a higher level supervisor or manager.

9. WORKING RELATIONS/COMMUNICATION

- Is cooperative in dealing with others and functions as part of the “team”.
- Has a genuine interest in and a desire to assist and work with others (members of the public, peers, supervisors and outside agency partners).
- Remains calm under difficult and/or pressure situations and controls feelings and emotions so that they do not influence his/her judgment and performance.
- Respects the roles of others in the organization and proactively provides information to assist others in fulfilling their duties.
- Participates in active listening (seek first to understand, then to be understood).
- Is effective in explaining District policies, goals, objectives, procedures, services, programs and activities.
- Listens attentively to what individuals have to say and can elicit valuable information from others.
- Writes in a clear, concise and effective manner using appropriate business grammar and punctuation.
- Is able to summarize ideas, both verbally and in writing, so that they are logical, coherent, and easily understood.

10. QUALITY/QUANTITY OF WORK PRODUCTS

- Considers all options and available information in preparing recommendations, reports, or proposed action.
- Completes job duties and work products in a timely and efficient manner.
- Completes assigned work on time and produces a thorough and polished finished product.

11. ENVIRONMENTAL MANAGEMENT/SUSTAINABILITY

- Incorporates principles of sustainability in developing actions/plans.
- Consistently considers issues of environmental management in making decisions.

12. WORKFORCE DEVELOPMENT/SUCCESSION PLANNING (FOR SUPERVISORS / MANAGERS ONLY)

- Actively engages direct subordinates to discuss career goals, training needs, and opportunities for assignments that will be mutually beneficial to the employee and the District.
- Develops and maintains individual development plans for each direct report that identifies specific goals and expectations.

13. COMPLETION OF STAFF PERFORMANCE REVIEWS (FOR SUPERVISORS / MANAGERS ONLY)

- Completion of meaningful performance evaluations of all direct report non-represented and AFSCME employees.
- Encourages continuous feedback to staff throughout the performance year.
- Actively engages each employee to ensure expectations are understood, and that sufficient resources (training, work tools, etc.) are provided to achieve success.

COMMENTS

The Comments Section can be found in the second column and should be used to explain areas of success, improvements needed and/or areas of focus that the Supervisor is recommending. Some narrative discussion is particularly important for ratings of Superior or Outstanding to document how an employee exceeds expectation for the dimension.

RATING

Performance Evaluation Rating considers the employee's overall performance as measured through the identification of Performance Dimensions and is measured against the Performance Plan which established Goals and Objectives at the outset of the evaluation period. A comprehensive performance evaluation will also include suggestions on ways improvements in performance can be achieved.

Performance ratings are defined as follows:

RATING CATEGORIES	
Outstanding (O)	<ul style="list-style-type: none"> • Performance is consistently and significantly above established criteria. • Demonstrates exceptional skill level.
Superior (S)	<ul style="list-style-type: none"> • Work products are above established criteria. • Achieves performance objectives, often beyond expectations.
Effective (E)	<ul style="list-style-type: none"> • Work products are at the expected level of performance. • Performance consistently meets established criteria.
Marginal (M)	<ul style="list-style-type: none"> • Work products are below established criteria and there is a clear need for improvement. • Performance in one or more skill areas is less than expected and needs improvement.
Unsatisfactory (U)	<ul style="list-style-type: none"> • Work products are well below expected results and are unacceptable. • Performance in several skills is substantially weak.

In the event that an employee fails to meet the 'Effective' level of overall performance, the supervisor must develop a written Action Plan designed to improve the employee's performance to an Effective rating. For additional information about this process, please contact Human Resources.

PERFORMANCE PLANNING

Performance Goals and Objectives are the major results for which the employee is accountable. Some performance goals and objectives will remain relatively stable from year to year, while others will address specific organizational initiatives with a shorter time frame. Performance Goals and Objectives should be developed at the beginning of the evaluation period using the chart provided on the form. In addition to the general recommended dimensions, there are also additional dimensions that Supervisors may add to tailor the evaluation to the position. The following is additional information about Goals and Objectives:

- Objectives are expressed in terms of the end product, not of the activity that may be taken to produce it.
- Objectives are important in establishing a clear understanding of job expectations.
- Objectives must clearly relate to organizational goals.
- Objectives should be worded so they can be measured in terms of quality, quantity or timeline.
- Performance Measures are to be stated for each objective. Measures should be objective, quantifiable, and observable to the greatest extent possible.

Examples of various objectives and sample measures that can be expanded on include:

A. Objective

To continue to efficiently and effectively complete all day to day processing for the _____ program.

Measures

- Timeliness
- Accuracy/correctness
- Meets all external standards, e.g., Federal regulations, State statute, CPUC regulations
- In accordance with generally accepted standards in the profession
- With appropriate consideration of the interests of all stakeholders (as measured by specific examples)

B. Objective

Plan and implement Assigned Project X, including documentation and final report/disposition.

Measures

- Plans reflect clear understanding of mandate
- All stakeholders' perspectives are heard and addressed within the practical limits of the project
- Issues arising during the course of the project are appropriately and timely escalated for further attention
- Budgetary and timeliness requirements are honored
- All necessary procedural steps are completed
- Written communications associated with the projects are effectively executed and presented

C. Objective

Reduce overtime costs by xx% without incurring new grievances.

Measures

- % reduction in cost of overtime in relation to a baseline figure
- Absence of grievances related to the reduction
- Absence of reductions in work quality, e.g., timeliness, other cost items, number of cars in service, missed schedules relating to staffing shortages, etc.

OVERALL COMMENTS AND PERFORMANCE RATING

Following the completion of the chart, the Overall Comments and Performance Rating provides an opportunity for the Supervisor to provide an overall assessment on the evaluation and plan. These should reflect the total contribution of the employee over the period and be consistent with an overall representation of the individual scores assigned in each dimension area.

ACTION PLAN GUIDELINES (Only for overall rating of “marginal” or “unsatisfactory”):

The Action Plan should include the following:

1. Time and date of discussion(s).
2. The content of the discussion, including specific examples of performance issues/standards not met, as well as the date(s) of occurrence(s).
3. A summary of the plan of action established to resolve the performance problem(s), and a schedule of follow-up meetings to monitor the employee’s progress.
4. A directive on the performance expectations to be met.
5. A statement that the consequence of failing to meet the action requirements is discipline, up to and including, termination of employment.

The supervisor must meet with the employee and review the work performance as frequently as necessary, no less than once every ninety (90) days (more frequently is highly recommended). This review process must continue until the employee’s performance either meets the ‘Effective’ level, or it becomes clear that insufficient progress is being made in relation to that goal. In this latter event, further administrative action, which may include discipline and/or discharge is appropriate. The supervisor should contact Labor Relations staff for assistance if this is necessary.