

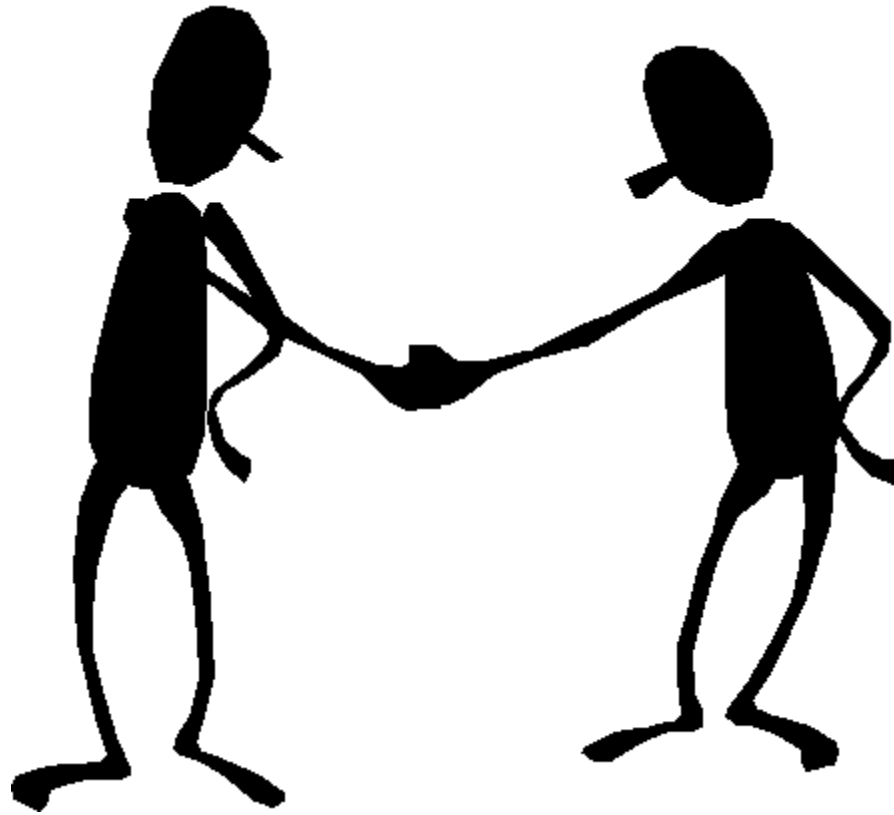
Chief Administrative Officers Performance Appraisals



ALBERTA URBAN MUNICIPALITIES ASSOCIATION (AUMA)

We provide value to our members through economies of scale, advocacy, a wide range of products and services, and expertise that comes from working with many municipalities.



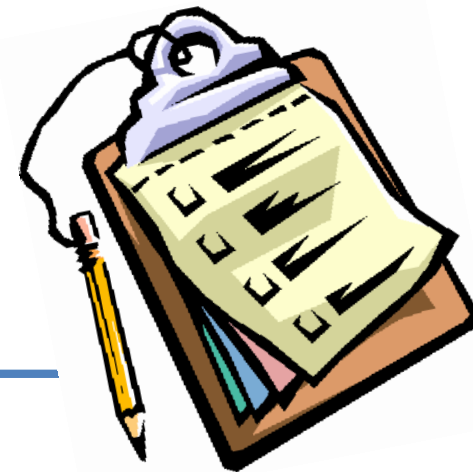


INTRODUCTIONS AND OBJECTIVES



COURSE AGENDA

- Introductions & Objectives
- Building our Foundations for Success
- Performance Appraisal Overview
 - Includes information sharing and participatory exercises.
- Resources and Tools
- Rolling up our Sleeves
- Course Summary and Reflection
- Thank You



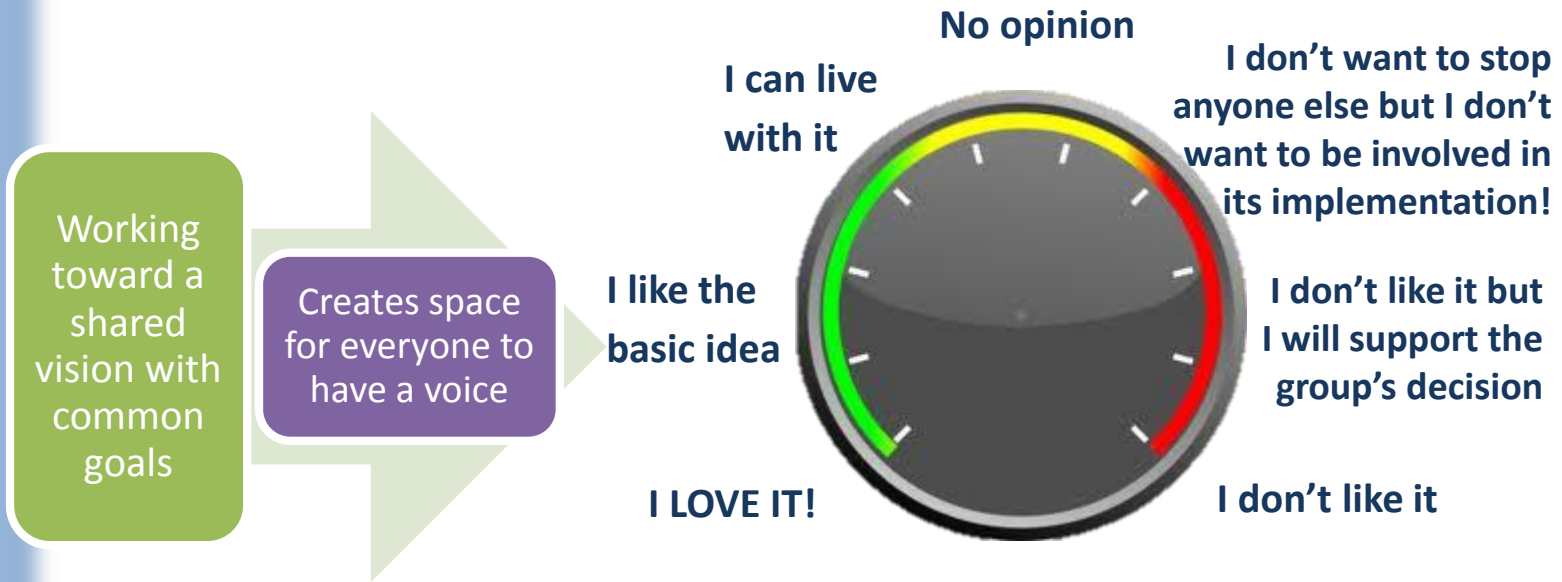
OUR ROLES

Facilitators	Participants
<ul style="list-style-type: none">○ To prepare the process for this course.○ To ensure everyone has an equal opportunity to participate.○ To help us move through the session in a timely manner.○ To utilize our technical skill set to share promising practices and related tools for CAO performance appraisal.	<ul style="list-style-type: none">○ To participate and provide input during the course.○ To keep an open mind and participate in individual and group exercises.○ To dialogue and provide suggestions and direction for improvements and next steps.○ To trust our views are important and respected as an essential part of our success.

For all of us to learn something new have fun and share with each other during this course and beyond.



COLLABORATIVE DECISION MAKING MODEL



THE AGREEMENT GAUGE

Creating Open Space: “Whoever comes” “Whatever Happens”
“Whenever it starts” “When it is over, it’s over”

Appreciative Inquiry: building from the positive



FOUNDATIONS FOR SUCCESS

What will help our time together go well?



- E.g. the whole is greater than the sum of its parts

PERFORMANCE APPRAISAL - WHAT IS IT?

- ◎ What does performance appraisal mean to you?
- ◎ How is your municipality implementing this now?
- ◎ What could your municipality do to improve this process?



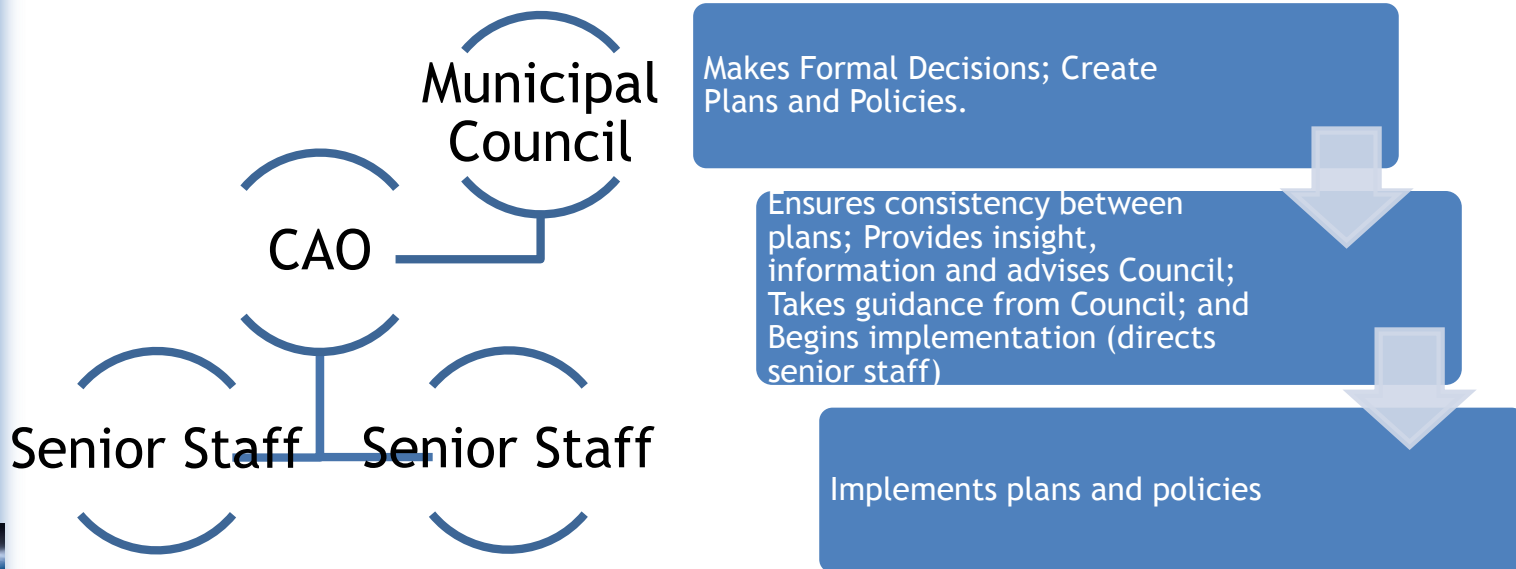
PERFORMANCE APPRAISAL - WHAT IS IT?

- ⦿ A formal approach and process to establish and monitor the performance expectations of the Chief Administrator Officer (CAO); and
- ⦿ A document that is developed when a CAO assumes his or her responsibilities.



CAO PERFORMANCE APPRAISAL - LINK TO OTHER MUNICIPAL PLANS

- ◉ Bylaw to establish a Chief Administrative Officer is required.
- ◉ The responsibility of the CAO is to participate in the development and implementation of other municipal plans such as strategic plans, land use plans, transportation plans, and infrastructure plans.

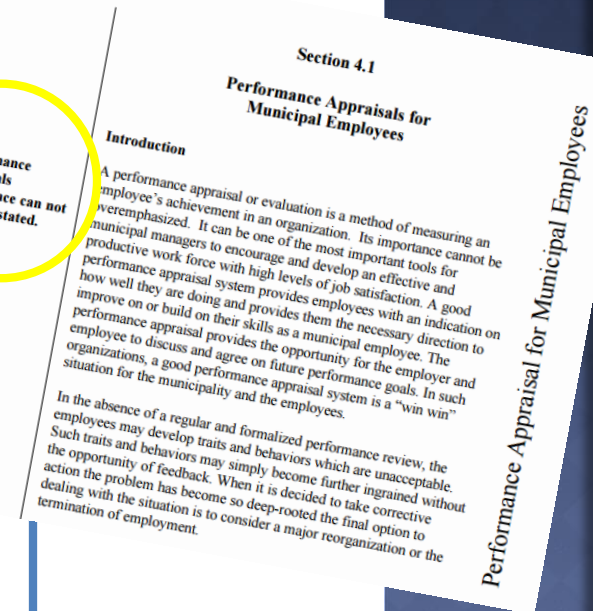


THE IMPORTANCE OF A CAO PERFORMANCE APPRAISAL

The purpose of conducting a performance appraisal is:

- *To formally discuss the relationship between the Municipality and the CAO.*
- *To relate performance to the role, responsibilities, authority and duties as defined by the MGA, the bylaws and policies and the job description.*
- *To set objectives and criteria for future evaluation.*
- *To recognize strengths and weaknesses and reward or correct them.*
- *To serve as a basis for salary adjustment (Municipal Affairs: Performance Appraisal of a Chief Administrative Officer, 2014: p. 3).¹*

Performance appraisals importance can not be understated.



¹Capacity Building, Municipal Services Branch. *Performance Appraisal of a Chief Administrator Officer* Alberta Municipal Affairs, Government of Alberta, 2014



THE IMPORTANCE OF A CAO PERFORMANCE APPRAISAL

- ◉ Why do you think performance appraisal is important for your municipality?
- ◉ What do you think are the risks of not doing a CAO performance appraisal?



THE IMPORTANCE AND RISKS ASSOCIATED WITH PERFORMANCE APPRAISAL

Importance

- ⦿ Maintain a good working relationship.
- ⦿ Ability to provide valuable feedback.
- ⦿ Helps to provide a base of information for salary, wage increase, and justification for employment.

Risks

- ⦿ Compromised Ethics
 - E.g. Conflict of Interest
- ⦿ Positional Power
- ⦿ Municipal Reputation



THE IMPORTANCE AND RISKS ASSOCIATED WITH PERFORMANCE APPRAISAL

12/13/2015

City council looking at CAO review - Local - The Journal Pioneer



The Journal Pioneer > News > Local

City council looking at CAO review

Published on October 19, 2011

By Mike Carson

Journal Pioneer

SUMMERSIDE – Summerside City Council has begun the process for a policy to monitor, review and evaluate the performance of the city's chief administrative officer.

The plan, presented by Councillor Tina Mundy, chair of the city's Human Resources Committee, calls for a detailed review process and assessment of the CAO's performance.

The matter has been handed over to Gordon MacFarlane, director of the city's Human Resources and Legal Affairs Department, for recommendation to council next month.

Mundy said, "As chair of H.R. I felt it was time to start looking at some of our policies, and when I looked at this policy I realized it was extremely outdated and we didn't really have a policy for evaluating the CAO. I felt it was time that we updated the policy and have a separate policy to deal with the monitoring of the CAO.

"We need to use that for feedback and for effective communication between council and our CAO for the city to run effectively," she said. "I did a little bit of research and came up with a recommendation for the policy. We need to tidy up the language a little bit and that's what Gordon's been tasked to do."

Mundy said the current policy for reviews only states that the CAO will be evaluated once a year. It didn't lay out the parameters for the evaluation, or the process, or who would conduct the evaluation, or any type of follow-up.

"The policy that I've prepared is a little bit more in depth," Mundy said.

It suggests "a 360 evaluation" which would be engaging stakeholders in the community, senior management and council. She explained this is "360 degrees, so everybody that has contact with the CAO would be involved in that evaluation."

There is also a recommendation for a council sub-committee to be struck to review the results

<http://www.journalpioneer.com/News/Local/2011-10-19/article-2781600/City-council-looking-at-CAO-review/>

As chair of H.R., I felt it was time to start looking at some of our policies, and when I looked at this policy I realized it was extremely outdated and we didn't really have a policy for evaluating the CAO.

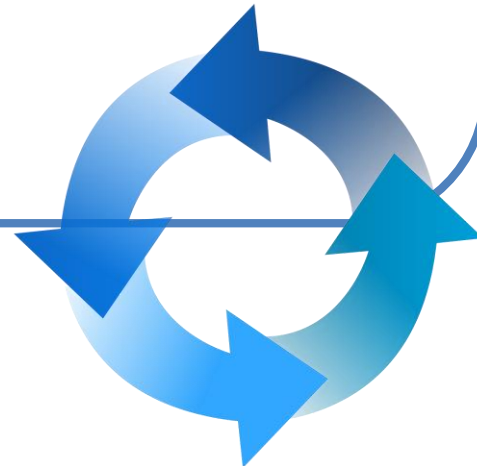
Source:

<http://www.journalpioneer.com/News/Local/2011-10-19/article-2781600/City-council-looking-at-CAO-review/>



WHO CONDUCTS THE CAO PERFORMANCE APPRAISAL

- ◎ A Council can choose whom will be conducting the performance appraisal.
- ◎ There are three options:
 - The full Council;
 - The Mayor/Reeve; or
 - A committee of Council (depending on the size).



PERFORMANCE APPRAISAL TIMEFRAME

- ◎ Council is required by legislation (*The Municipal Government Act, 2000*, Section 205.1) to conduct a performance appraisal once a year in writing.
- ◎ Based on the Municipality's needs and circumstances, Council may choose to conduct a formal performance appraisal evaluation more than once a year, at their discretion.



LET'S TAKE A BREAK



PERFORMANCE APPRAISAL PROCESS

- ◎ There are a number of different ways the performance appraisal process can be conducted:
 - Self Assessment;
 - Balanced Scorecard;
 - Competencies Scorecard;
 - Behaviourally Anchored Rating Scales (BARS);
 - And, many others.



PERFORMANCE APPRAISAL PROCESS - SELF ASSESSMENT

- The process of looking at oneself in order to assess aspects that are important to one's identity.
- It is one of the motives that drive self-evaluation, along with self-verification and self-enhancement.

Employee Name: _____
 Job Title: _____
 Department (if applicable): _____
 Review Period: _____
 Date Completed: _____

PART ONE: Employee Self Evaluation Forms

Rate yourself on characteristics pertinent to job performance. Carefully evaluate each criterion in relation to current job requirements. Check the rating box to indicate the relevant rating and indicate N/A if not applicable.

The ratings are 0 to 5 as follows:

- 0 **Not applicable** - Too soon to review
- 1 **Unsatisfactory** - Much improvement required; performance does not meet minimum requirements.
- 2 **Need Improvement** - Performance is clearly deficient in some respects; improvement needed.
- 3 **Competent** - Performance consistently meets expectations; fully meeting requirements of the job.
- 4 **Highly Effective** - Performance often exceeds job requirements; contributes beyond normal expectations.
- 5 **Exceptional** - Performance consistently exceeds expectations; far above normal performance requirements.

It is very important to recognise that Level 3, which signifies "Competent", means just that. It indicates that the agreed upon performance factor/behaviour or work objective has been achieved.

Newfoundland and Labrador Association of Municipal Administrators

SELF-REFLECTION

Please take some time this week to carefully consider the following questions, and kindly have your response back to me by _____ in order to give me an opportunity to review before our meeting on _____. Your responses will help me understand and facilitate your preferred working style and environment.

The 'Comments/Examples' fields will expand as you type if additional space is required. If you prefer to print this document and complete it by hand, you can increase the size of the 'Comments/Examples' fields by clicking or tabbing inside the box and then pressing the 'ENTER' button on your keyboard until the field is the desired size.

What do you enjoy most about your work? What keeps you here?

What do you want more of?

What is the best praise/recognition you've ever received? What made it the best?

Have you had any really productive partnerships or mentors? Why do you think these relationships worked so well for you? What does a supportive manager look like for you?

ADOPTED by Council at its meeting held July 18, 2011 [M170-2011 - EC13/11] /AA
 Windsor, Ontario July 18, 2011

REPORT NO. 13 of the EXECUTIVE COMMITTEE of its meeting held June 28, 2011

Members Present:

- Mayor E. Francis
- Councillor D. Dilkens
- Councillor J. Gigas
- Councillor A. Halberstadt
- Councillor R. Jones
- Councillor A. Maghnieh
- Councillor S. Marra
- Councillor H. Payne
- Councillor E. Sleiman
- Councillor F. Valentinis
- Councillor P. Hatfield

That the following recommendation of the Executive Committee BE APPROVED as follows:

Moved by Councillor Jones, Seconded by Councillor Marra, That the Executive Standing Committee APPROVE in principle the proposed 2011 CAO Performance Evaluation Process, attached as Appendix B. This report complements the report authored by the Chief Administrative Officer (CAO) to the Executive Standing Committee on June 28, 2011, regarding the CAO's goals and objectives.

Carried.
 Councillor Dilkens was absent when the vote was taken.

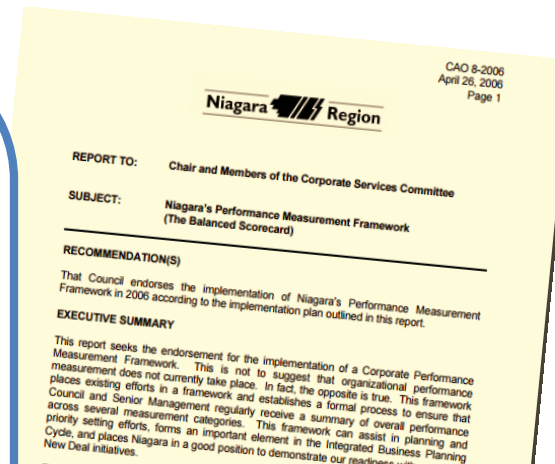
Clerk's Note: The Report from the Chief Administrative Officer dated June 13, 2011 titled "Chief Administrative Officer Performance Evaluation - 2011" is attached as background information


 CHAIRPERSON



PERFORMANCE APPRAISAL PROCESS - BALANCED SCORECARD

A strategic planning and management system that is used extensively in business and industry, government, and nonprofit organizations worldwide to align business activities to the vision and strategy of the organization, improve internal and external communications, and monitor organization performance against strategic goals.



This framework places existing efforts in a framework and establishes a formal process to ensure that Council and Senior Management regularly receive a summary of overall performance across several measurement categories.

PERFORMANCE APPRAISAL PROCESS - COMPETENCY SCORECARD

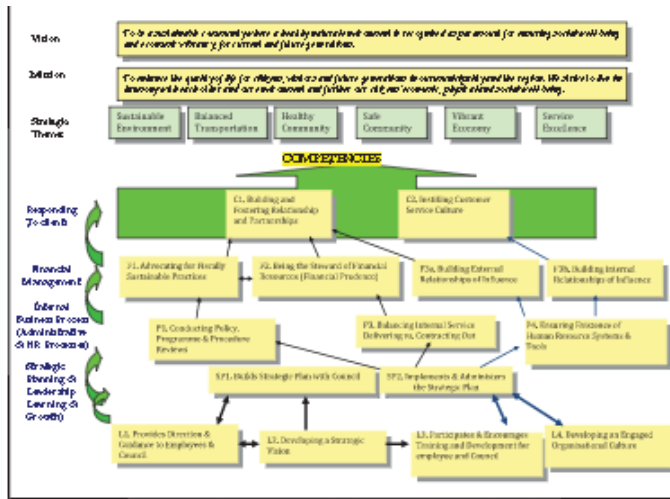
LCS 2.0

Analytic Competencies		1 (low) <-> 5 (high)	
		Understanding of the Concept	Effectiveness in Practice
1. SELF-ASSESSMENT	Analyzing one's own thoughts, emotions, and reactions	1 2 3 4 5	1 2 3 4 5
2. PROBLEM-DEFINITION	Identifying underlying issues, concerns, problems, and tasks that need to be addressed in a given situation	1 2 3 4 5	1 2 3 4 5
3. STAKEHOLDER ANALYSIS	Assessing perspectives of those likely to be affected by the decisions, policies, or practices of a leader or organization	1 2 3 4 5	1 2 3 4 5
4. SYSTEM, ORGANIZATIONAL, SITUATIONAL ANALYSIS	Focusing on "the big picture," including short- and long-term concerns and outcomes, for all those affected by leadership decisions, policies, or practices	1 2 3 4 5	1 2 3 4 5
5. ANALYSIS OF TECHNOLOGY TO SUPPORT LEADERSHIP	Assessing available technologies, and their potential strengths and weaknesses for supporting leadership efforts	1 2 3 4 5	1 2 3 4 5
6. PROBLEM-SOLVING	Analyzing a situation, identifying possible responses, leadership roles and courses of action, ensuring follow-through	1 2 3 4 5	1 2 3 4 5
7. REVIEW AND ANALYSIS OF RESULTS	Defining and analyzing outcomes to derive "lessons learned" that can be applied in a future situation	1 2 3 4 5	1 2 3 4 5

Subtotals - Analytic Competencies

Personal Competencies		1 (low) <-> 5 (high)	
		Understanding of the Concept	Effectiveness in Practice
8. CHARACTER, PERSONAL VALUES, AND ETHICS	Maintaining personal and professional standards	1 2 3 4 5	1 2 3 4 5
9. COGNITIVE ABILITY AND CREATIVITY	Demonstrating insight and imagination	1 2 3 4 5	1 2 3 4 5
10. ENTHUSIASM	Maintaining a positive attitude	1 2 3 4 5	1 2 3 4 5
11. HIGH STANDARDS	Expecting excellent performance from oneself and others	1 2 3 4 5	1 2 3 4 5
12. PERSONAL CONVICTION	Being dedicated and persevering	1 2 3 4 5	1 2 3 4 5

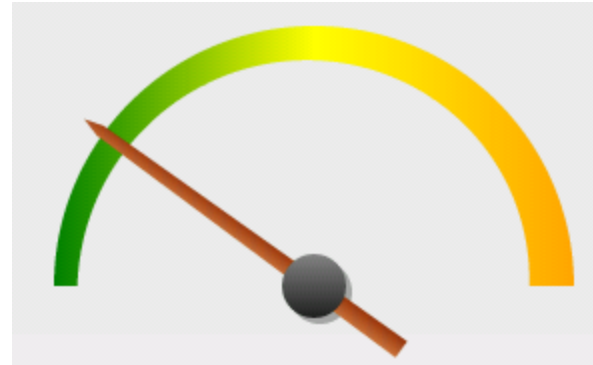
A competency-based framework that identifies and integrates a diverse array of characteristics described in scholarly and professional writings as being important for effective leadership.



PERFORMANCE APPRAISAL PROCESS - BEHAVIOURALLY ANCHORED RATING SCALES (BARS)

- Rating scales that are designed to bring the benefits of both qualitative and quantitative data to the employee appraisal process.
- BARS compares an individual's performance against specific examples of behaviour that are anchored to numerical ratings.

- Extremely poor (1 points)
- Poor (2 points)
- Below average (3 points)
- Average (4 points)
- Above average (5 points)
- Good (6 points)
- Extremely good (7 points)



PERFORMANCE APPRAISAL PROCESS - OTHER EXAMPLES

Performance Tool	Description
Graphic Rating Scales	Lists desirable traits and managers rate employees on each trait.
Critical Incident	Council members keep an ongoing log of events that represent outstanding behaviour or behaviour that needs improvement. At the end of the rating period, the recorded critical incidents are used to evaluate performance.
Mixed Standard Rating Scale	Contain statements representing good, average, poor performance for each dimension the individual is being evaluated on.
Management by Objectives	Sets organization-wide goals and links these to a CAO's specific goals.
Comparative Evaluation Method	Two ways are used to make a comparative evaluation, namely, the simple ranking method and the paired comparison method. In the simple or straight ranking method the employee is rated by the evaluator on a scale of best to worst.



PERFORMANCE APPRAISAL PROCESS - OTHER EXAMPLES

Performance Tool	Description
360 Degrees	A system or process wherein the employees receive some performance feedback examples, which are anonymous and confidential from co-workers. This process is conducted by managers and subordinates who, through 360 degrees, measure certain factors about the employees. These are behaviour and competence, skills such as listening, planning and goal-setting, teamwork, character, and leadership effectiveness.
Checklist and Weighted Checklist	<p>The checklist method comprises a list of set objectives and statements about the employee's behaviour.</p> <p>Weighted checklist is a variation of the checklist method where a value is allotted to each question.</p>
Forced Choice	In this method, the appraiser is asked to choose from two pairing statements which may appear equally positive and negative.



PERFORMANCE APPRAISAL PROCESS - OTHER EXAMPLES

Performance Tool	Description
Forced Distribution	In this method, the appraiser rates employees according to a specific distribution.
Essay Evaluation	In the essay method of evaluation the appraiser writes an elaborate statement about the employee who is being evaluated. He mentions the employee's strengths and weaknesses. He also suggests ways to improve his performance and appreciates the good qualities.
Performance Test and Observation	This method deals with testing the knowledge or skills of the employees. It can be implemented in the form of a written test or can be based on the actual presentation of skills.



CAO PERFORMANCE APPRAISAL CRITERIA

- CAO responsibilities as per the *Municipal Government Act, 2000*;
- Others to consider:
 - Management and leadership practices;
 - Relationship with Council;
 - Relationship with staff;
 - Relationship with the public and media;
 - Objectives and accomplishments;
 - Areas for improvement/suggested training;
 - Financial responsibilities (i.e. budget);
and
 - Code of Ethics.



PERFORMANCE APPRAISAL PROCESS

Please take the next 15 minutes to review the performance appraisal template and reflect on your current CAO (or a former one). As you are reflecting, fill out the performance appraisal template.



APPRAISAL COMMUNICATIONS BACK TO THE CAO

- ⦿ Annual written performance evaluation (*The Municipal Government Act, 2000, Section 205.1*);
- ⦿ The evaluation must be signed by Council and a copy is provided to the CAO; and
- ⦿ Face-to-face meeting to discuss the results.



THINGS TO FOCUS ON WHEN CONDUCTING A CAO PERFORMANCE APPRAISAL

- ⦿ During the appraisal process, what might be some things to focus on during the discussion?
- ⦿ Why are these items important?




THINGS TO FOCUS ON WHEN CONDUCTING A CAO PERFORMANCE APPRAISAL

- ◎ Confidentiality;
- ◎ Two-way communication;
- ◎ Open discussion; and
- ◎ Build from the positives (strengths) - while identifying areas of improvement (weaknesses).



PERFORMANCE APPRAISAL TOOLKIT



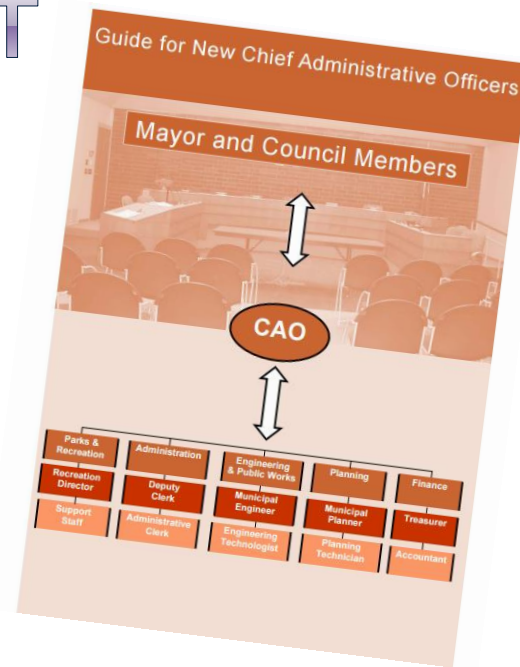
DISTRICT OF SUMMERLAND
Performance Appraisal of the Chief Administrative Officer
© George B. Cuff & Associates Ltd.

Name: _____
 Date Appointed to Position: _____
 Date of Appraisal Meeting: _____
 Current Salary: _____
 Date of Last Revision: _____

Purpose of Performance Evaluation

The performance evaluation of a CAO can serve any or all of the following purposes:

- To ensure that there is clarity with regard to the position expectations of the CAO.
- To formally discuss the relationship which should (and does) exist between the Council and administration of the District of Summerland and its Chief Administrative Officer.
- To relate performance to the role, responsibilities, authority and duties as defined



Chief Administrative Officer (CAO) Performance Evaluation

General Function: Provides best advice to Council, and leads the municipal organization to carry out the direction of Council. Models consistent values of high ethical awareness, honesty, fairness, courage. Develops objectives and implements strategic and operational plans to achieve the vision for the Municipality, as well as the financial and operating objectives. Oversees the operations of the municipal organization, develops management, allocates resources, and ensures controls to safeguard municipal assets. Acts as chief spokesperson for the Municipality. Works with the Council to develop policy and maintain oversight.

Instructions: Rank answers from 0-5:
 0 – Don't know
 1 – Falls short of requirements
 2 – Improving towards requirements
 3 – Meets requirements
 4 – Performing beyond basic requirements
 5 – Exceptional

COUNCIL RELATIONS

a) Presents all issues to Council in a timely fashion.	0	1	2	3	4	5
b) Acts on Council's motions and direction in a timely manner.	0	1	2	3	4	5
c) Facilitates Council's governance, decision-making and committee work.	0	1	2	3	4	5

Performance Appraisal
of the Chief Administrative Officer
for the
Municipality of XXXX

Name of CAO: _____
 Date Appointed to Position: _____
 Date of Appraisal Meeting: _____
 Current Salary: _____
 Date of Last Revision: _____

Purpose of a Performance Evaluation Process

This performance evaluation of the CAO is a valued instrument of this Council and is used in order to:

- Underline the importance which the Council places on its relationship to CAO



◎ Questions?

◎ Comments?



LET'S TRY IT OUT - PERFORMANCE APPRAISAL SCENARIO

In your group, you will receive one of the following roles:

- Council member;
- CAO; or
- Performance Appraisal Committee member.

Please read your role and scenario. Reflecting and utilizing what you've learned today, take a few minutes to jot down how you might respond to this situation.

We will then act this scenario out together.



SUMMARY AND REFLECTIONS

- What did you notice from this exercise?
 - What did you notice about what you notice?
 - Is there anything else you would like to share?
- Please fill out a feedback form.



THANK YOU!

