



# TACOMA HOUSING AUTHORITY

<b>Policy No.</b>	HR-15.15
<b>Policy</b>	Performance Evaluation and Job Objectives
<b>Date</b>	August 17, 2007

## 1. Purpose

The purpose of this policy is to establish a system to effectively and regularly evaluate the job performances of staff. There are two general parts to this effort. The policy directs (i) supervisors and their staff, when appropriate, to set job objectives, and (ii) supervisors to evaluate their staff's work performance, including staff success in meeting any previously established objectives.

Job objectives and performance evaluations are useful to both supervisors and employees. They help to establish job expectations. They help assess an employee's ability to meet those expectations. They allow the agency to set and raise standards of performance, to assist staff in meeting those standards, and to address staff who do not.

## 2. Sources for Policy

Performance evaluation is a well established practice of employers, both public and private. THA's collective bargaining agreements expressly provide for performance evaluation.

## 3. Scope of Policy

This policy applies to all employees of THA.

## 4. Who is Responsible for Implementing this Policy

Who	Responsibilities
Employees	All active employees are expected to actively and constructively participate in the entire performance evaluation process.
Supervisors	Supervisors must timely, effectively, accurately, and honestly conduct evaluations of staff. This is a major responsibility of all supervisors. Their fulfillment of this responsibility shall be an important element in an evaluation of their own job performance.
Department Directors	Department Directors are responsible for (i) ensuring that supervisors in their department comply with this policy, (ii) monitoring compliance through promoting high standards and consistency, and (iii) conducting the appeal that this policy allows to employees who disagree with the content of an evaluation. Department Directors shall review and sign all performance evaluations for their staff.

Human Resource Dept.	The Human Resource Department is responsible for assisting supervisors and employees implement and continue this policy in a constructive, consistent, and timely manner. In particular, the department must notify all supervisors and keep them on schedule through appropriate monitoring and direction. The department is also responsible for maintaining the performance evaluations records. The Human Resource Director shall review all performance evaluations with any rating of Outstanding or Poor.
Executive Director	The Executive Director bears overall responsibility for the implementation of the policy.

<b>5. Definitions</b>	
	None

<b>6. Forms Associated with this Policy</b>	
THA Form HR 15.15(1)	<i>Performance Evaluation and Job Objectives</i>
THA Form HR 15.15(5)	<i>Notable Event Record of Staff Performance</i>
THA Form HR 15.15(10)	<i>Performance Evaluation Appeal</i>

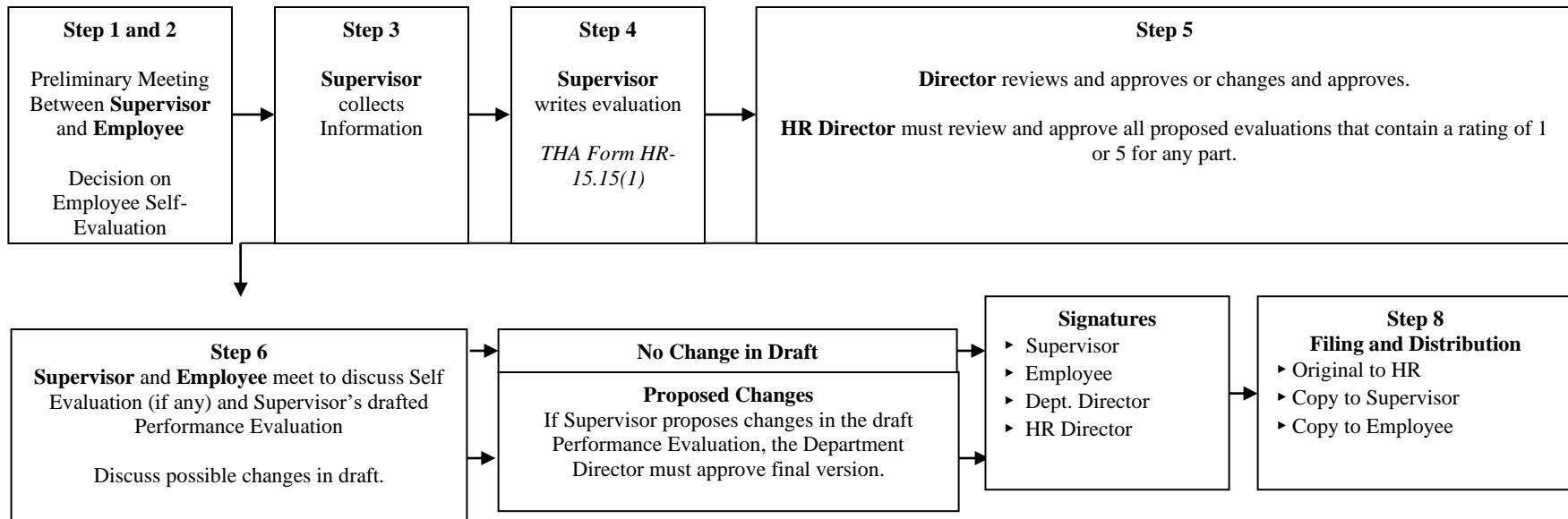
<b>7. Policy</b>	
	THA has high standards of job performance for its entire staff. Specific job expectations appear in job descriptions. Supervisors shall state their further expectations to each staff. These expectations may include job objectives that supervisors assign after consultation with each staff person. THA shall endeavor to evaluate each staff person's ability to meet those expectations. The evaluation shall occur on a regular schedule and in a productive manner that sets high job performance standards throughout the agency, that helps staff understand and meet those standards, and that addresses performance problems constructively, directly, and effectively.

## 8. Procedure

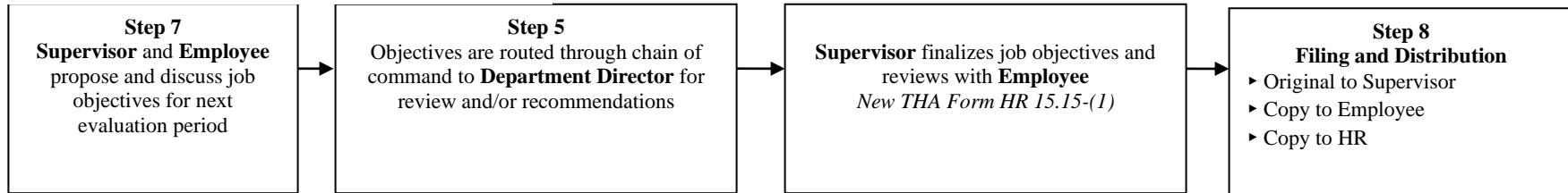
### 8.1 Outline Procedure for Performance Evaluation and Job Objectives

This graphic summarizes the process for performance evaluations and job objectives. Sections below provide more detail.

#### PERFORMANCE EVALUATION



#### JOB OBJECTIVES



## **8.2 Schedule of Performance Evaluation**

Performance evaluations shall occur on the following schedule.

### *8.2.1 Probationary Employees After a Hire or Transfer*

Supervisors shall complete a performance evaluation on all new or newly promoted employees by or around the scheduled end of the probation period. Supervisors may wish to establish job objectives for the probationary employee. See Step 1 instructions below. The supervisor may use any or all objectives set for this purpose to determine successful completion of probation.

### *8.2.2 Regular Employees*

Supervisors shall complete a performance evaluation for every employee they supervise approximately once every twelve (12) months.

Supervisors may conduct Performance Evaluations at intervals shorter than every twelve (12) months. Shorter intervals may be deemed appropriate to address concerns or to evaluate an employee's specific job objectives that have shorter deadlines or may have had substantial changes. Performance and behavioral issues may be addressed through the disciplinary policy.

## **8.3 Procedure for Setting Job Objectives and Writing the Performance Evaluation** – See Flow Chart page 3

Step 1	<b>Notice to Employee</b> When it is time to conduct a performance evaluation, the evaluator should inform the employee and schedule the preliminary meeting at a time convenient to both.
Step 2	<b>Preliminary Meeting of Evaluator and Employee</b> The evaluator and the employee should meet. At the meeting: <ul style="list-style-type: none"><li>▶ If job objectives have been previously established, the evaluator should give the employee the <i>THA Form HR-15.15(1) Performance Evaluation and Job Objectives</i>. It should have the previously established objectives listed in Part 3 that they both had reviewed when they listed the objectives. This part of the step would not apply for an employee being reviewed for the first time or when there have been no previously set job objectives.</li><li>▶ The evaluator should explain the purpose of the review, the intended outcomes, and how the process will work. They should discuss and arrange to collect any written materials or other information the evaluator should review as part of the evaluation.</li><li>▶ The evaluator should ask the employee to suggest other persons the evaluator should consult for an informed third party assessment of the employee's job performance.</li></ul>

	<ul style="list-style-type: none"> <li>► If the employee wishes or at the direction of the evaluator, the employee should be given the opportunity to complete a self-evaluation using <i>THA Form HR-15.15(1) Performance Evaluation and Job Objectives</i> prior to the Step 4. The employee should be encouraged to express what he/she wants to accomplish in their current job, what he/she wants to attain in their career, or what support he/she needs to perform their job better.</li> </ul>
Step 3	<p><b>Collect Information</b></p> <p>The evaluator and employee should collect information necessary or useful for the evaluation. It may include the following:</p> <p><i>Employee's Self-Evaluation:</i> If the employee fills out <i>THA Form HR-15.15(1)</i> for a self-evaluation, the evaluator should get it in advance of filling out the form.</p> <p><i>Employee's Work Product:</i> The evaluator should review the employee's work product completed or in process during the evaluation period. This could include client files, reports, notable memos or letters they have written or received, or completed projects. Review any quantifiable data concerning results achieved toward pre-established objectives. For the evaluation of supervisors, it should include a complete review of the supervisor's compliance with this policy for the employees the supervisor has evaluated.</p> <p><i>Notable Event Forms:</i> The evaluator should collect all the <i>THA Form HR-15.15(5) Notable Event Record of Staff Performance</i> filled out during the evaluation period.</p> <p><i>Third Party Assessments (Optional)</i></p> <p>Assessments by peers, persons whom the employee supervises, or community partners can be useful. The evaluator should ask the employee to suggest such persons for the evaluator to consult. The evaluator should also consult with others that he or she may identify as having relevant information. Third party assessments are confidential. The evaluator shall not share the information with the employee in a manner that identifies the source. The information shall not be kept in the employee's Personnel File.</p> <p>Both the evaluator and the employee should also review the job description, any work plans, desk manuals, Job Objectives and the employee's completed self-evaluation, if applicable.</p>
Step 4	<p><b>Evaluator Completes Performance Evaluation Form;</b></p> <p>After the preliminary Performance Evaluation meeting, the evaluator should complete <i>THA Form HR-15.15(1) Performance Evaluation and Job Objectives</i>.</p>
Step 5	<p><b>Department Director Reviews</b></p> <p>The evaluator will route the performance evaluation form through the chain of command to his/her Department Director for review and/or recommendations. The Human Resource Director will review all evaluations that contain a rating in any category of (5) Outstanding or (1) Poor. These reviews by the Department Director and the Human Resource Director help to promote consistency among</p>

	<p>evaluations and compliance with the procedures of this policy.</p>
Step 6	<p><b>Performance Evaluation Meeting</b></p> <p>Once the document is returned from the Department Director and HR, the evaluator has the option to deliver the performance evaluation to the employee in advance of the performance evaluation meeting. The evaluator and the employee should meet to conduct the formal performance evaluation. This meeting should be mutually scheduled in advance. It should be unrushed, uninterrupted, quiet, and private. The evaluation process should be a productive exchange of information and views.</p> <p>The evaluator may first invite the person being evaluated to discuss his or her self-assessment. The evaluator will then review the evaluation form he/she has prepared and share his/her assessment. The evaluator may agree to reconsider a rating based on the discussion with the employee. In addition, Part 4 of the Form is a space for the employee to comment if he or she wishes.</p> <p>If the evaluator does not plan on any changes to the evaluation, the evaluator and employee sign. If the evaluator decides to reconsider any of the ratings, he/she must review those decisions with their Director before making any changes. After conferring with the Director and whether or not changes were made, the employee and the evaluator shall add their signature. The employee's signature does not denote the employee's agreement with the content of the evaluation. If the employee refuses to sign, the evaluator shall indicate the refusal in the signature space and confirm that the evaluator gave a copy of the Form to the employee.</p> <p>The original of <i>THA Form HR-15.15(1) Performance Evaluation and Job Objectives</i> showing all signatures, goes to the HR Department for the employee's personnel file. All other documents related to the performance evaluation, except for third party assessments shall also go into the personnel file. Third party assessments shall be forwarded to the HR Department and shall be stored separately. They remain confidential and not accessible to the employee.</p> <p>The employee and the employee's supervisor retain a copy of the completed and signed <i>THA Form HR 15.15(1) Performance Evaluation and Job Objectives</i>.</p>
Step 7	<p><b>Identify Specific Job Objectives for the Upcoming Evaluation Period</b></p> <p>The evaluator will decide whether to establish Job Objectives for the upcoming evaluation period. Not all employees will receive Job Objectives.</p> <p>If Objectives are to be set, the evaluator and employee should work together to set them. If used, the most appropriate time to set job specific objectives for the next evaluation is at the end of the previous performance evaluation or, for a probationary employee, early in the probationary period.</p> <p>Job Objectives supplement the job description by stating the expectations for the person being evaluated. They should be appropriate to the position and the department's goals. They should express clearly what the employee needs to do.</p>

	<p>The employee or the department may have a work plan that already identifies objectives. If so, the job objectives can incorporate all or parts of that work plan. The objectives should include any recommended training the employees may undergo, new or expanded assignments or responsibilities, and/or supervisor provided support and/or resources.</p> <p>The discussion of Job Objectives does not necessarily have to occur during the performance evaluation meeting.</p> <p>To set Job Objectives, the evaluator should use a new blank <i>THA Form HR 15.15(1) Performance Evaluation And Job Objectives</i>. Prior to finalizing the Objectives, the evaluator must review the proposed Objectives with his/her Department Director. Once finalized, the evaluator and employee should initial each Objective. The evaluator should keep the original. The employee and the HR Department get copies. It shall serve as a basis for the next evaluation. The evaluator may add or modify the objectives during the interim as necessary but always in consultation with the employee.</p>
Step 8	<p><b>Filing the Performance Evaluation</b>  The Human Resource Department is responsible for the proper filing, storage and distribution of all records.</p>

## 8.4 Appeal Process

An employee who disagrees with his or her evaluation has some recourse. Initially, the evaluation process itself should provide him or her with a chance to discuss the content of the evaluation with the person doing the evaluation. Participating in the appeal process will not necessarily guarantee expected result(s) or change(s) to the performance evaluation. The employee may appeal as follows:

### 8.4.1 Level (1) Appeal: Meet with Evaluator

Within five (5) working days from the date the evaluator signs and delivers the evaluation to the employee, the employee may request to meet with the evaluator. The purpose of the meeting is to allow the employee another chance to explain to the evaluator why he or she believes a change in the evaluation may be in order. The evaluator should try and meet with the staff person within five (5) days to discuss concerns and consider any requested modification.

### 8.4.2 Level (2) Appeal: Appeal to Evaluator's Supervisor

If the concerns remain unresolved after the Level 1 appeal, an employee may request to meet with the evaluator's supervisor. (If the evaluator's supervisor reports to the Executive Director, the Level (2) appeal would go to the Executive Director or his or her designee.) The employee must request this meeting in writing using *THA Form HR-15.15(10) Performance Evaluation Appeal*. He or she must deliver this form to the evaluator's supervisor within five (5) working days of the Level 1 meeting with the evaluator. The

evaluator's supervisor should try and meet with the employee within ten (10) days of receiving this appeal. Employees represented by a Collective Bargaining Agreement have a right to the presence of their union representative at this meeting. The evaluator's supervisor may arrange for the evaluator to attend as well and may consult other information as he or she deems appropriate.

**8.4.3 *Level (3) Appeal: Appeal to the Next Level Supervisor***

Where additional levels of supervision are available, and the employee's concerns remain after both the Level (1) and Level (2) appeal; the employee may request review by the next level of command, up to and including the Executive Director or his/her designee. Level (3) appeals are expected to be completed within the same time frames as Level (2) appeals.

**8.4.4 *Finalize the Evaluation***

The person conducting the appeal review shall either sustain or change the performance evaluation as he or she deems appropriate. He or she shall inform the employee and the evaluator of his or her decision in writing. If he or she decides to change the performance evaluation, the evaluator shall prepare a new evaluation with the change. In that event, the Department Director, the Human Resource Director, the evaluator and the employee shall sign the new version.