# Town of Simsbury

933 HOPMEADOW STREET          SIMSBURY, CONNECTICUT 06070

**Personnel Sub-Committee**
Tuesday, May 1, 2018
5:30pm
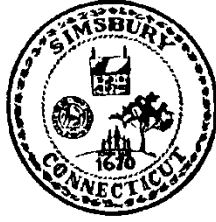Probate Conference Room 103, Town Hall, 933 Hopmeadow Street

## SPECIAL MEETING AGENDA

Call to Order

1)  Labor and Employment Counsel RFQ

2)  Town Manager Performance Review Process, Instrument

3)  Town Manager Goals for February 2018 – January 2019

4)  Minutes of:
    a) August 22, 2017
    b) September 25, 2017
    c) April 23, 2018

Adjournment
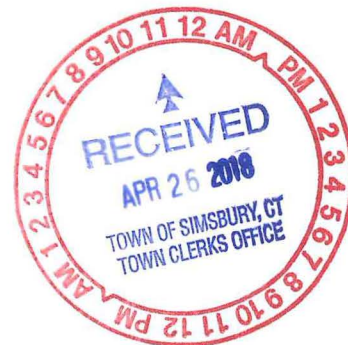
TOWN OF SMSBURY, CONNECTICUT

REQUEST FOR QUALIFICATIONS (RFQ)

Legal Services Relating to the Town of Simsbury Human Resources and Labor Relations Program

**SUBMISSION DEADLINE:** Monday, July 23, 2018 by 12:00 p.m.

**SUBMISSION CONTACT AND ADDRESS:**
Ms. Maria E. Capriola
Town Manager
Town of Simsbury
933 Hopmeadow Street
Simsbury, Connecticut 06070
(860) 658-3230
tmintern@simsbury-ct.org

*Proposals will be accepted in electronic format only.*

## Purpose
The Town of Simsbury is seeking submittals to provide legal services for the Town of Simsbury relating to its Human Resources and Labor Relations Program.

## Project Description
Legal Counsel will serve in an advisory capacity to the Town Manager, Deputy Town Manager, HR Coordinator and other staff as assigned on human resources and labor relations issues. Sample work conducted by legal counsel will include: reviewing proposals prepared by staff for negotiations with labor unions; reviewing personnel policies prepared by staff to ensure compliance with relevant state and federal laws; advising staff on complex labor matters such as termination cases and personnel investigations; and representing the Town in human resources and labor relations legal proceedings.

## Background
The Town of Simsbury was incorporated as Connecticut's twenty-first Town in May 1670. It has a land area of approximately 34.5 square miles and a population of approximately 24,350. Centrally located in the heart of the New York - Boston corridor, Simsbury is an attractive and diverse suburban community. As a part of the beautiful Farmington Valley, Simsbury offers an unmatched quality of life with a traditional New England town atmosphere in a setting of rolling hills, the picturesque Farmington River and extensive trail system. Simsbury is conveniently located 20 minutes northwest of Hartford and 20 minutes southwest of Bradley International Airport. Simsbury operates under a Town Manager-Board of Selectmen form of government with the Town Manager serving as the Chief Executive Officer responsible for overseeing the day-to-day operations of the Town.

The Town Manager is responsible for the establishment and maintenance of the comprehensive human resources program of the Town, in accordance with Charter section 502, relevant state and federal requirements, and best practices and merit-based principles. The Town Manager's Office is responsible for administering the Human Resources program for the town. Components of the Human Resources program include but are not limited to: classification and compensation; employee benefits administration; employee training and development; labor relations; policy development and compliance; recruitment and retention of employees; and risk management. Specific rules and regulations governing the human resources program are set forth in the Personnel Rules, collective bargaining agreements, and other personnel policies of the Town, as amended.

The Town has approximately 136 full-time employees across six labor unions. They represent the following employees: Supervisors (7 employees), Secretarial, Clerical and Library (19 employees), Administrative and Professional employees (25 employees), Dispatchers (7 employees), Parks & Recreation and Public Works employees (42 employees) and Police Officers (36 employees). The remaining 11 employees are unaffiliated (non-union). Additionally the Town has INSERT part-time employees.

## Scope of Services

The Town Manager invites submittals from appropriately qualified firms to provide legal counsel to the Town of Simsbury regarding its human resources and labor relations program.

Duties are likely to include:
- Advising and assisting the Town in cases of employment discrimination, employee terminations, wage and hour disputes, workers' compensation, unemployment compensation, ADA, OSHA, FMLA, and immigration;
- Representation at hearings, informational meetings or in administrative proceedings, mediations, arbitration hearings and litigation pursuant to claims and allegations stemming from or related to human resources and labor relations;
- Assisting with labor negotiations;
- Assisting with organizational development program activities to build capacity within the organization and support employees in achieving their professional goals;
- Updating personnel policies to promote a culture of ethical behavior, fair and equitable treatment of employees, and compliance with state and federal regulations;
- Participating fully in shaping the current and future strategic direction of the Town employment practices and the Human Resources program;
- Review, analysis, investigation and research to carry out the above services;
- Drafting, reviewing and editing documents such as proposals, agreements, reports, plans, and correspondence related to human resources and labor relations; and
- Being available upon the reasonable request of the Town of Simsbury for consultation as necessary.

## Summary

The firm should submit by email: a letter of interest containing general information on the firm; the firm's brochure; resumes for key personnel and information regarding the consultant's experience conducting similar business; references; and rates for work performed. Submissions should be directed to Ms. Maria Capriola, Town Manager, not later than **Monday, July 23, 2018 by 12:00 p.m.**

The Town intends to "short-list" firms responding to this RFQ and to interview one or more firms to accurately assess their qualifications. The Town will negotiate a scope of services and a fee proposal with the selected firm. The Town will evaluate and select the firm based on qualifications, experience and performance with similar projects, references, ability to provide timely services, awareness of project issues, opportunities and constraints, and estimated fees and expenses. The selected firm

must be able to meet all municipal, state and federal affirmative action and equal employment opportunity practices and guidelines, as well as comply with the Town's Conflict of Interest Policy.

The Town does not expressly state or imply any obligation to reimburse responding firms for any expenses incurred in preparing submissions in response to this request. The Town reserves the right to reject any or all submissions, to select a firm in a manner that is advantageous to the town and to waive all formalities in the bidding.

The Town of Simsbury is proud to be an equal employment opportunity employer.

Please address any questions related to this RFQ to Maria Capriola, Town Manager, at (860) 658-3230 or via email at townmanager@simsbury-ct.gov.

# MEMORANDUM

To:     Town Council

cc:     Matthew Hart, Town Manager

From:   Maria Capriola, Assistant Town Manager
        *At the Request of the Personnel Committee*

Date:   Revised 7/20/16

Re:     Timeline – Town Manager Performance Review Process

The Personnel Committee met May 16, 2016 to discuss the process and timeline for the Town Manager's performance review. The Committee has asked me to distribute the timeline to Council. The timeline, including tasks and due dates, is noted below. Matt will distribute his self-evaluation to Council.

| Task | Date | Person/People Responsible |
|---|---|---|
| Online survey instruments updated | 7/1/16 | Toni Moran, Maria Capriola |
| Self-evaluation due to Council | 7/19/16 | Matthew Hart, Town Manager |
| Council members complete performance review online via Survey Monkey | 7/20-8/4/16 | Council Members |
| Personnel Committee prepares draft evaluation | 8/5-8/22/16 | Personnel Committee |
| Town Council meets in Executive Session to discuss performance review | 8/22/16 | Town Council |
| Town Council meets in Executive Session in a special meeting in advance of Council meeting to conduct performance review with Town Manager | 9/12/16 | Town Council & Town Manager |
| Town Council adopts review and makes changes to compensation plan, if any | 9/26/16 | Town Council |

## 1. Welcome

**Intro and instructions**

1. Welcome to the E-version of Mansfield's Town Manager Review for the year July 1, 2015 - June 30, 2016.

This survey should be simple to complete. If you can not finish the survey in one session, your answers will be saved and you may login to finish your survey at another time. However, you must login using the link provided to you in the original e-mail and you must use the same computer you used to begin the survey.

You must answer each question in order to proceed. In sections 2 to 6, Council members will use an objective rating scale that permits you to render an opinion on whether the Town Manager exhibits the characteristic. Council members may select "Outstanding," "Satisfactory," or "Needs Improvement."

Each section also allows you to add remarks on the category. Please take advantage of this opportunity to comment. The text of comments need not be confined to the visible space provided. The comment sections have provided some of the most valuable information to the Town Manager. However, while an answer to each question is required, comments are not.

Section 7 asks Council members to rate the Town Manager's performance in relation to supporting his progress/performance towards completing his fiscal year 2015/2016 goals.

We ask that you complete the survey by August 4th, 2016. Please call Toni if you have questions or concerns: 429-0798.

Are you ready to proceed?

◯ Yes

## 2. Organizational Management and Leadership

2. Plans and organizes the work that effectively implements the decisions of the Town Council.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

3. Effectively oversees and manages the daily operations of the organization.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

4. Explores alternatives and presents well thought-out and properly documented recommendations.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

5. Provides appropriate support and assistance to the Town Council.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

6. Takes responsibility for setting realistic objectives for the organization based on Council goals.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

7. Keeps the Town Council appropriately informed about the status of the organization and any changes.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

8. Knows when to act and when to defer action.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

9. Is knowledgeable of town, state, and federal laws and ordinances affecting operations and enforces those laws.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

10. Makes hard decisions when required and accepts responsibility for those decisions and those of subordinates.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

11. Selects, leads, directs and develops staff effectively.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

12. Please provide general remarks for the Organizational Management and Leadership category.

## 3. Fiscal and Business Management

13. Plans, organizes and administers the adopted budget. Ensures compliance with Council goals and guidelines.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

14. Plans, organizes and presents the annual General Fund budget and capital improvement program with appropriate documentation and justification.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

15. Effectively oversees the maintenance, preservation and operation of town buildings, equipment, technology, and other facilities.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

16. Ensures the most cost effective and economic use of human and fiscal resources.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

17. Makes informed, reasoned and responsible fiscal recommendations and decisions.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

18. Please provide general remarks for the Fiscal and Business Management category.

## 4. Communication and Relationship with Town Council

19. Maintains effective and timely communication, both verbal and written, with the Council.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

20. Sensitive to Town Council concerns and priorities.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

21. Manager and staff are available and responsive to elected town officials.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

22. Maintains a system of reporting town plans and activities.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

23. Avoids biases based on issues, personalities, or partisanship.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

24. Responds equally to each member of the Town Council and implements directives of the Council as a whole rather than individually.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

25. Please provide general remarks for the Communications and Relationship with the Town Council category.

## 5. Community and Intergovernmental Relations

26. Effectively communicates Council policies and decisions to the public.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

27. Maintains an image of the town that represents helpfulness, quality services and professionalism.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

28. Appropriately willing to meet with citizen and community groups and advisory committees regarding their interests and concerns.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

29. Is courteous and sensitive to the public.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

30. Promptly responds to citizen concerns.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

31. Maintains awareness of developments in other governmental jurisdictions that are relevant to the town.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

32. Maintains effective working relationships with groups and other governmental entities with which the town is involved.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

33. Please provide general remarks for the Community and Intergovernmental Relations category.

## 6. Personal and Professional Traits

34. Demonstrates composure, appearance and attitude appropriate for an executive position.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

35. Maintains personal integrity in actions and decisions.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

36. Makes unbiased decisions based on facts and qualified opinions.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

37. Innovative.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

38. Self-motivated.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

39. Energetic.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

40. Values and implements personal and professional development of self and others.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

41. Effectively motivates the organization.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

42. Please provide general remarks for the Personal and Professional Traits category.

## 7. Facilitation of Council Goals and Objectives

43. Please rate the Town Manager's progress/performance towards completing his fiscal year 2015/2016 goals.

Goal Area: General Government

1) Prepare proposed FY 2016/2017 operating budget and CIP consistent with Council policy objectives.

2) Complete financial controls assessment and implementation of financial policies and procedures.

3) Negotiate successor shared service agreement with boards of education.

4) Continue to assist Town Council with review of Fire Department staffing and structure.

5) Continue to assist Town Council with review of police services.

6) Assist Town Council with review of codes and ordinances regarding rental housing.

◯ Outstanding   ◯ Satisfactory   ◯ Needs Improvement

Comments

44. Please rate the Town Manager's progress/performance towards completing his fiscal year 2015/2016 goals.

Goal Area: Organizational Development and Performance Measurement

1) Prepare quarterly scorecard for performance measures.

2) Introduce web-based OpenGov budget and financial analysis program.

3) Conduct leadership team retreat for supervisory staff and commence development of comprehensive employee orientation program, with focus on customer service.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

Comments

45. Please rate the Town Manager's progress/performance towards completing his fiscal year 2015/2016goals.

Goal Area: Infrastructure

1) Complete EIE and prepare bid package for Four Corners sanitary sewer project.

2) Complete pavement management study.

3) Complete community playground project.

4) Select consultant and initiate facility needs assessment.

5) Complete negotiation of UCONN sewer agreement.

6) In consultation with Superintendent of Schools, develop process to conduct facility needs assessment for Mansfield Public Schools.

◯ Outstanding ◯ Satisfactory ◯ Needs Improvement

Comments

46. Please rate the Town Manager's progress/performance towards completing his fiscal year 2015/2016 goals.

Goal Area: Storrs Center

1) Coordinate municipal resources needed to complete Phase II of project.

( ) Outstanding  ( ) Satisfactory  ( ) Needs Improvement

Comments

47. Please rate the Town Manager's progress/performance towards completing his fiscal year 2015/2016 goals.

Goal Area: Sustainability

1) Complete open space acquisitions as approved by Town Council.

2) Continue efforts to reduce Mansfield's carbon footprint, including progress on near zero waste initiative.

○ Outstanding  ○ Satisfactory  ○ Needs Improvement

Comments

48. Please rate the Town Manager's progress/performance towards completing his fiscal year 2015/2016 goals.

Goal Area: Town-University Relations

1) Complete NextGenCT impact study.

2) Conduct review of Community School of the Arts.

○ Outstanding  ○ Satisfactory  ○ Needs Improvement

Comments

49. Please provide general remarks for the Facilitation of Council Goals and Objectives category.

50. What do you see as major goals for the next evaluation period (FY 2016/2017, July 1, 2016 - June 30, 2017)?

## 8. Overall Performance Rating

**Please provide an overall rating for the Town Manager's Performance.**

51. Please provide an overall rating for the Town Manager's performance.

◯ Outstanding  ◯ Satisfactory  ◯ Needs Improvement

## 9. Survey Complete?

52. Have you completed this survey?

When you select Yes and complete this survey, your answers will be submitted and you will no longer be able to access and edit your answers. Do not select Yes until you are satisfied that your answers are complete.

◯ Yes

As one of Matt's direct reports or members of the management team, you are being asked to participate in the 360 degree survey evaluation of the Town Manager's performance. The 360 degree evaluation occurs once every three years. Your answers will be confidential to the extent legally possible. The results of this survey will be summarized in a report to Council. There are 19 questions, each allowing an opportunity for comments. The survey will not allow you to proceed unless you check a response to each question, however comments are not required. The Council would like to thank you for your contributions.

1. Selects, leads, directs and develops staff effectively.

○ Outstanding      ○ Satisfactory      ○ Needs Improvement

Comments

2. Strives to create an environment that promotes innovation, accomplishment and accountability.

○ Outstanding      ○ Satisfactory      ○ Needs Improvement

Comments

3. Delegates authority responsibly to department heads and staff while retaining responsibility for ultimate staff performance.

○ Outstanding      ○ Satisfactory      ○ Needs Improvement

Comments

4. Makes hard decisions when required and accepts responsibility for those decisions and those of subordinates.

○ Outstanding      ○ Satisfactory      ○ Needs Improvement

Comments

5. Maintains effective and timely communication, both verbal and written, with staff.

○ Outstanding          ○ Satisfactory          ○ Needs Improvement

Comments

[                    ]

6. Avoids biases based on issues, personalities, or partisanship.

○ Outstanding          ○ Satisfactory          ○ Needs Improvement

Comments

[                    ]

7. Conducts fair and informative employee evaluations.

○ Outstanding          ○ Satisfactory          ○ Needs Improvement

Comments

[                    ]

8. Responsive to inquires and suggestions from staff.

○ Outstanding          ○ Satisfactory          ○ Needs Improvement

Comments

[                    ]

9. Possesses and promotes an attitude and feeling of helpfulness, courtesy and sensitivity to the public.

○ Outstanding          ○ Satisfactory          ○ Needs Improvement

Comments

[                    ]

10. Able to separate career from personal life

○ Outstanding          ○ Satisfactory          ○ Needs Improvement

Comments

[                    ]

11. Willing to spend necessary time to do a good job.

○ Outstanding          ○ Satisfactory          ○ Needs Improvement

Comments

12. Understands values, attitudes and goals of others.

○ Outstanding          ○ Satisfactory          ○ Needs Improvement

Comments

13. Fosters a team environment.

○ Outstanding          ○ Satisfactory          ○ Needs Improvement

Comments

14. Effectively motivates the organization.

○ Outstanding          ○ Satisfactory          ○ Needs Improvement

Comments

15. Exercises sound financial management, budget, and capital planning skills.

○ Outstanding          ○ Satisfactory          ○ Needs Improvement

Comments

16. Promotes employee learning and development.

○ Outstanding          ○ Satisfactory          ○ Needs Improvement

Comments

17. Working with available resources, budget decisions reflect needs of departments.

○ Outstanding　　　　　　　　　　○ Satisfactory　　　　　　　　　　○ Needs Improvement

Comments

18. Effectively oversees and manages the daily operations of the organization.

○ Outstanding　　　　　　　　　　○ Satisfactory　　　　　　　　　　○ Needs Improvement

Comments

19. Please provide general remarks in regards to the Town Manager's overall performance.

1. Welcome to the online survey for the EHHD Executive Director 2016/2017 Performance Review. As a member of the EHHD Board, you are invited and encouraged to participate in this performance review. Board members will be provided a copy of the Director's self-evaluation in conjunction with the opportunity to complete the evaluation instrument.

You are being asked to rate the Director's performance from July 1, 2016 - June 30, 2017. There are 14 questions in the survey. For each factor being evaluated, you will be able to select from the following ratings:
• Outstanding - Employee's performance is outstanding and consistently exceeds expectations.
• Meets Expectations - Employee routinely completes the primary duties and responsibilities of the position and performance meets expectations.
• Needs Improvement - Employee's performance falls short of what is expected of a trained, experienced employee. Improvement is needed. Employee may occasionally fail to meet established deadlines, achieve goals and/or requirements.
• Unacceptable - Employee failed to correct deficiencies and did not improve in areas previously noted in a performance improvement plan.
• Not Sure - Reviewer not in a position to make a judgment

You have until Friday, September 1st to complete this evaluation.

The Personnel Committee will prepare one consolidated draft evaluation based upon the collected responses and analyzed data. The Personnel Committee will then review the draft evaluation with the Board during an executive session. If revisions are needed, the Personnel Committee will make the necessary edits. Once a final version of the evaluation is complete, the Board will meet with the Director in executive session to review the results.

If you have questions about the process or this survey, please contact Maria Capriola or Thomas Fitzgerald at 860-429-3395.

Are you ready to proceed?

◯ Yes

## Analytical/Assessment Skills

2. Please rate the Director's Analytical/Assessment Skills:
• Identifies community health needs
• Identifies relevant and appropriate data and information sources
• Makes community-specific inferences from quantitative and qualitative data
• Interprets information with regard to risks and benefits to the community
• Applies data collection processes, information technology applications, and computer systems storage/retrieval strategies
• Utilizes data to address scientific, political, ethical, and social public health issues

○ Outstanding  ○ Meets Expectations  ○ Needs Improvement  ○ Unacceptable  ○ Not Sure

Comments:

## Communication/Interpersonal Skills

3. Please rate the Director's Communication/Interpersonal Skills:

• Communicates in writing and orally, in person, and through electronic means

• Solicits input from individuals and organizations

• Utilizes a multimedia approach to disseminate public health information

• Presents demographic, statistical, programmatic, and scientific information for professional and lay audiences

• Applies communication strategies, including principled negotiation, conflict resolution, and active listening in interactions with individuals and groups

• Implements the public health agency's communication policies and procedures

○ Outstanding ○ Meets Expectations ○ Needs Improvement ○ Unacceptable ○ Not Sure

Comments:

## Financial Planning Skills

4. Please rate the Director's Financial Planning Skills:
• Develops balanced annual operating and capital budgets based on District needs and available resources
• Manages programs within current and forecasted budget constraints
• Authorizes and monitors expenditures
• Diversifies the District's revenue base by receiving grant funds and providing fee based services by contract

○ Outstanding  ○ Meets Expectations  ○ Needs Improvement  ○ Unacceptable  ○ Not Sure

Comments:

## Initiative

5. Please rate the Director's Initiative:
• Initiates activities/plans without being asked or directed
• Brings new resources to bear on problems
• Develops and implements new ideas and initiatives within and beyond the obvious or routine scope of one's job
• Encourages others to be innovative and creative

○ Outstanding ○ Meets Expectations ○ Needs Improvement ○ Unacceptable ○ Not Sure

Comments:

## Leadership Skills

6. Please rate the Director's Leadership Skills:
• Incorporates ethical standards of practice as the basis of all interactions with organizations, communities, and individuals
• Participates with stakeholders in identifying key values and a shared vision as guiding principles for action
• Rectifies internal and external problems that may affect the delivery of essential public health services
• Modifies organizational practices in consideration of changes in the public health system, and the larger social, political, and economic environment
• Maintains a strong working relationship with board, characterized by open communication, respect and trust

○ Outstanding ○ Meets Expectations ○ Needs Improvement ○ Unacceptable ○ Not Sure

Comments:

## Staff Supervision and Development Skills

7. Please rate the Director's Staff Supervision and Development Skills:
• Establishes and applies goals, objectives and performance standards
• Monitors staffing patterns and workloads
• Promotes and ensures a safe & healthy work environment
• Identifies employee skills and provides opportunities for educational and training needs
• Promotes team and organizational learning

◯ Outstanding ◯ Meets Expectations ◯ Needs Improvement ◯ Unacceptable ◯ Not Sure

Comments:

## Policy Development/Program Implementation and Evaluation Skills

8. Please rate the Director's Policy Development/Program Implementation and Evaluation Skills:
• Analyzes information relevant to specific public health policy issues
• Determines the feasibility and expected outcomes of policy options
• Articulates the health, fiscal, administrative, legal, ethical, social, and political implications of policy options
• Manages public health programs consistent with public health laws and regulations
• Develops a plan to implement policy and programs
• Develops mechanisms to monitor and evaluate programs for their effectiveness and quality
• Establishes performance measures to track and evaluate programs for effectiveness and quality

○ Outstanding  ○ Meets Expectations  ○ Needs Improvement  ○ Unacceptable  ○ Not Sure

Comments:

## Judgment and Decision Making Skills

9. Please rate the Director's Judgment and Decision Making Skills:
• Makes sound & timely decisions
• Resolves conflicts directly and completely
• Conducts hearings, appeals and investigations regarding health issues, practices and enforcement actions
• Seeks and follows the advice of Attorney and Board when differences of opinion exist regarding important decisions
• Listens to others and encourages expression of different view points
• Demonstrates thorough knowledge of public health laws, ordinances and regulations and laws governing communicable diseases, prevention and control measures, etc.

○ Outstanding  ○ Meets Expectations  ○ Needs Improvement  ○ Unacceptable  ○ Not Sure

Comments:

## Collaboration and Partnership Skills

10. Please rate the Director's Collaboration and Partnership Skills:
• Establishes linkages with key stakeholders
• Facilitates collaboration with internal and external groups to ensure participation of key stakeholders
• Uses group processes to advance community involvement
• Maintains partnerships over time
• Describes the role of government the private sector and non-profit sectors in the delivery of public health services
• Negotiates for the use of community assets and resources
• Advocates for public health policies, programs, and resources

○ Outstanding  ○ Meets Expectations  ○ Needs Improvement  ○ Unacceptable  ○ Not Sure

Comments:

## Public Health Skills

11. Please rate the Director's Public Health Skills:
• Relates local public health issues to the Core Public Health Functions and Ten Essential Services of Public Health
• Applies basic public health best practices to the prevention of chronic diseases, infectious diseases, injuries, and other population-based health threats
• Retrieves scientific evidence from a variety of text and electronic sources and describes the important observations and interrelationships among these findings

◯ Outstanding ◯ Meets Expectations ◯ Needs Improvement ◯ Unacceptable ◯ Not Sure

Comments:

## FY 2016/2017 Goals

12. Please rate the Director's progress towards achieving his FY 2016/2017 (July 1, 2016 - June 30, 2017) goals:

 Board Relations & Outreach:

o Provide clear direction to the member towns so that we can advocate politically for our Health District in light of the push for larger regionalism. Keep us informed and partner with CCM to head off any ideas the State has to reduce support or shift costs to the local level.

o Develop and conduct outreach to member towns with little or no participation on the Board; encourage active participation on Board matters

 Budget:

o Pursue development of potential revenue sources identified in concert with the Finance Committee

o Develop a plan for funding of the Health District based on state reductions and limited use of fund balance

 Community Health:

o Serve as a community coordinator for opioid awareness issue.

o Solicit and select community health needs consultant. Engage community partners in priority setting. Substantially, complete health district community health needs assessment. Initiate development of community health improvement plan.

 Human Resources and Organizational Development:

o Implement workforce development plan. Obtain plan approval. Assess staff core competencies. Update plan accordingly.

 Permitting and IT Plan:

o Substantially complete permitting, licensing, code enforcement software and online service improvements in accordance with the agency IT Plan. This includes but is not limited to launching and going live with the following modules: food protection, private well, public pool, soil testing, on-site septic system, mobile inspections, and code enforcement.

· Strategic Plan:

o Continue to implement the agency's strategic plan. Update the implementation and actions steps as needed/completed. Continue to delegate tasks to staff as appropriate.

◯ Outstanding ◯ Meets Expectations ◯ Needs Improvement ◯ Unacceptable ◯ Not Sure
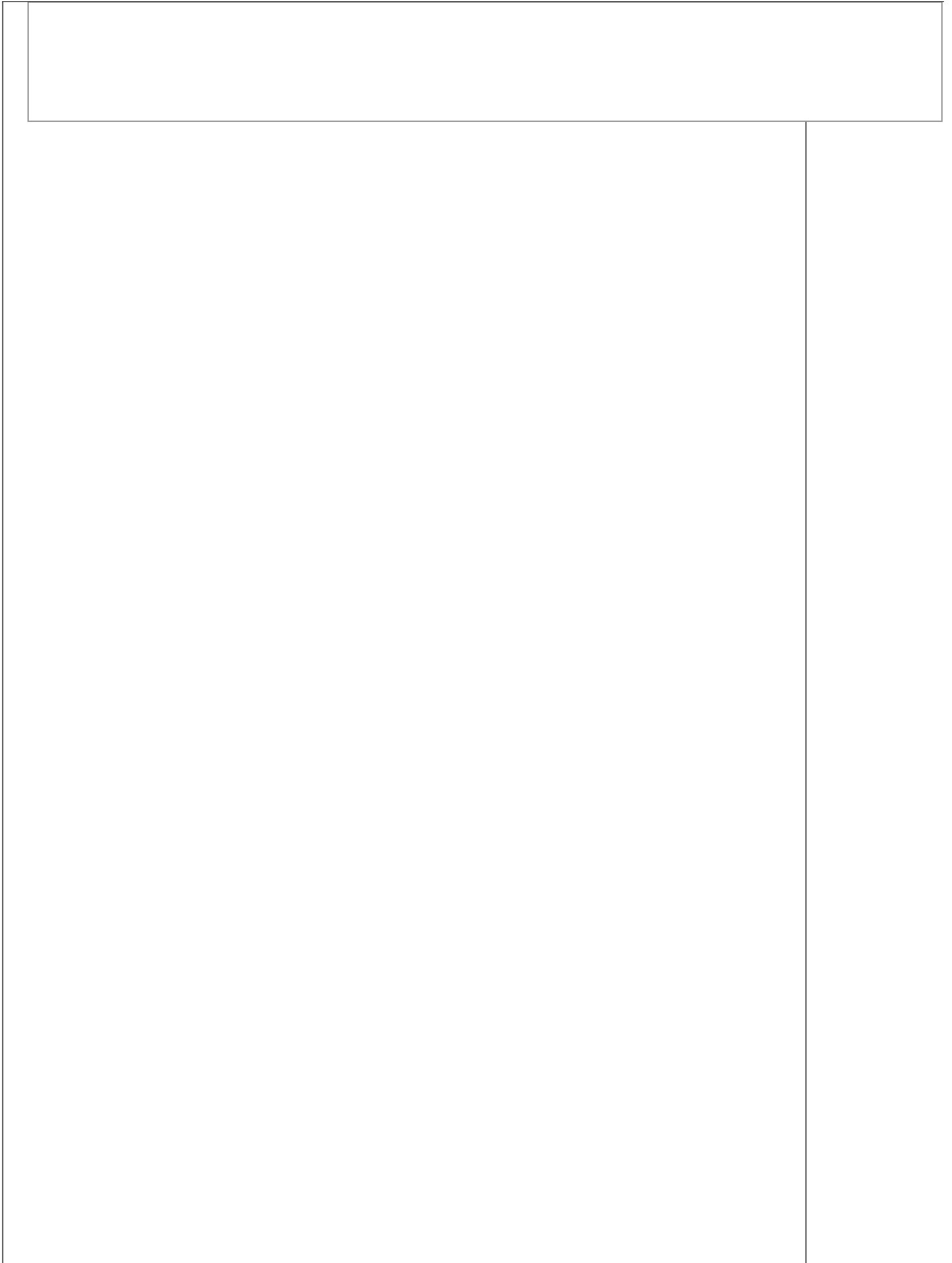
Comments:

## Overall Performance

13. Please rate the Director's overall performance for July 1, 2016 - June 30, 2017:

○ Outstanding  ○ Meets Expectations  ○ Needs Improvement  ○ Unacceptable  ○ Not Sure

14. Please offer any final comments you may have on the Director's overall performance for July 1, 2016 - June 30, 2017:

## Goals for FY 2017/2018

15. Please offer suggestions for goals for the Director during FY 2017/2018, July 1, 2017 - June 30, 2018:

# ANNUAL TOWN MANAGER EVALUATION

**Employee:** Peter Souza

**Position:** Town Manager

**Date of Hire:** October 13, 2004

**Period Covered by This Evaluation:**

**Name of Evaluator:** _____

**Evaluator Title:** Windsor Town Council Member

This evaluation form contains nine categories of evaluation criteria. Each category contains a number of statements to describe standards in that category. For each statement, use the following scale to indicate your rating of the town manager's performance. DO NOT calculate the category average score. The Personnel Committee will do so.

**5 = Excellent** (almost always exceeds the performance standard)
**4 = Above average** (generally exceeds the performance standard)
**3 = Average** (generally meets the performance standard)
**2 = Below average** (usually does not meet the performance standard)
**1 = Poor** (rarely meets the performance standard)

Any item left blank will be will be counted as a no answer, and will NOT be factored into the category average.

The 9 categories will count for 75% of the overall grade. The agreed about objectives will count for 25% of the overall grade.

This evaluation form also contains a provision for entering narrative comments, including an opportunity to enter responses to specific questions and an opportunity to list any comments you believe appropriate and pertinent to the rating period.

## PERFORMANCE CATEGORY SCORING

### 1.  INDIVIDUAL CHARACTERISTICS

_____ Diligent and thorough in the discharge of duties, "self-starter".
_____ Exercises good judgment.
_____ Displays enthusiasm, cooperation, and willing to adapt.
_____ Is enthusiastic and actively participates in community activities both as town manager
             and as a Windsor resident.
_____ Exhibits composure, appearance and attitude appropriate for executive position.

*Final Average Score  =*

### 2.  PROFESSIONAL SKILLS AND STATUS

_____ Demonstrates a capacity for innovation and creativity.
_____ Sets a professional example by handling affairs of the public office in a fair and impartial
             manner.
_____ The town manager's strategic planning practices leads to goal setting and policy
             development, assisting elected officials in developing a vision and sense of direction for
             the future of town government and community.
_____ Demonstrates concise oral and written communications skills and the ability and
             willingness to communicate in an open, straightforward and positive manner with elected
             officials, staff, employees and the community.
_____ Is professional, diplomatic and effective in dealings with the news media.
_____ Independently recognizes problems, develops relevant facts, formulates alternate
             solutions and makes appropriate recommendations.

*Final Average Score  =*

### 3.  RELATIONS WITH ELECTED MEMBERS OF THE GOVERNING BODY

_____ Carries out directives of the body as a whole as opposed to those of any one member or
             minority group.
_____ Provides Council with adequate information and keeps them informed about activities of
             town boards and commissions, regional groups and community organizations to enable
             the Council to make appropriate and timely decisions.
_____ Sets meeting agendas that reflect the guidance of the governing body and avoids
             unnecessary involvement in administrative actions.
_____ Assists by facilitating decision making without usurping authority.
_____ Responds well to requests, advice, and constructive criticism.

*Final Average Score  =*

### 4.   POLICY EXECUTION

_____ Provides prompt, thorough and fully responsive implementation and follow-through on Council decisions, actions and directions, providing timely feedback to the Council regarding the status of such actions.

_____ Supports the actions of the governing body after a decision has been reached, both inside and outside the organization.

_____ Understands, supports, and enforces local government's laws, policies, and ordinances.

_____ Offers workable alternatives to the governing body for changes in law or policy when an existing policy or ordinance is no longer practical.

*Final Average Score  =*

### 5.   SUPERVISION

_____ Encourages heads of departments to make decisions within their jurisdictions with minimal town manager involvement, yet maintains general control of operations by providing the right amount of communication to the staff.

_____ Sustains or improves staff performance by evaluating the performance of staff members at least annually, setting goals and objectives for them, periodically assessing their progress, and providing appropriate feedback and helps to develop the competency and capabilities of town staff.

_____ Encourages teamwork, innovation, and effective problem-solving among the staff members.

_____ Ensures capable and competent people fill town positions and fosters the personal and professional development of replacements for known staff vacancies.

_____ Effective in maintaining employee morale and empowers and motivates employees through guidance and mutual respect.

*Final Average Score  =*

### 6.   FISCAL MANAGEMENT

_____ Prepares a balanced budget to provide services at a level directed by council.

_____ Makes the best possible use of available funds, conscious of the need to operate the local government efficiently and effectively.

_____ Ensures actions and decisions reflect an appropriate level of responsibility for financial planning and accountability.

_____ Appropriately monitors and manages fiscal activities of the organization.

*Final Average Score  =*

### 7.   ECONOMIC DEVLEOPMENT

_____ Economic and development strategies and procedures result in attracting and retaining both small and large enterprises which contribute to the expansion of the town's tax base and provide expanded and stable employment opportunities for residents.

*Final Average Score  =*

**8.      QUALITY OF SERVICES**

      Evaluates and maintains the town's organizational structure, staffing and operational practices toward providing a high level of cost-effective services to the citizens.

      Regularly explores opportunities for cost reduction, revenue enhancement or incorporation of supplemental resources.

      Considers financial impact before decisions are made.

*Final Average Score* **=**

**9.      COMMITTMENT TO QUALITY OF LIFE**

      The town manager continuously acts to maintain and enhance the quality of life for residents through effective planning and management of services, programs & services.

      Ensures actions are taken and results achieved are consistent with the culture and environment desired by residents.

*Final Average Score* **=**

**10.    SUMMARY AND COMMENTS**

What constructive suggestions or assistance can you offer the manager to enhance performance? _____

_____

_____

_____

_____

_____

What other comments do you have for the manager; e.g., priorities, expectations, goals or objectives for the new rating period? _____

_____

_____

_____

_____

_____

_____

**Final Overall Average Score:** _____

New Accomplishments or abilities (since last evaluation)

_____
_____
_____
_____

Describe Goals for next performance review and means by which goals will be achieved:

_____
_____
_____
_____
_____
_____
_____
_____
_____

**Evaluator's signature:** _____   **Date:**_____

This evaluation was discussed with the employee on (date): _____

Employee Comments:

_____
_____
_____
_____

I understand that my signature does not necessarily imply that I agree with the above. However, I do confirm that I have received a copy of this performance evaluation.  I understand that I may respond to this performance evaluation in writing and a copy of my response will be placed in my personnel file.

**Employee Signature:** _____   **Date:** _____

**TOWN OF SOUTH WINDSOR**
**PERFORMANCE AND DEVELOPMENT**
**APPRAISAL FORM**

---

**Section 1 – General Information**

| | |
|---|---|
| **Name:** | **Position:** |
| **Evaluation Period:** 7/1/16 to 6/30/17 | **Time in Position:** |
| **Employment Date:** | **Classification Date:** |
| **Date of this Evaluation:** | **Supervisor:** |

---

**Directions:** Reviewer comments for each topic area should be provided and (as necessary) recommended Areas for Improvement should be included. (If necessary, a continuation page for Comments or Areas for Improvement should immediately follow the associated topic area.)

**The elements listed are examples ONLY and should not be considered all inclusive. Those elements not applicable may be crossed off and additional lines have been provided for customization of the evaluation.**
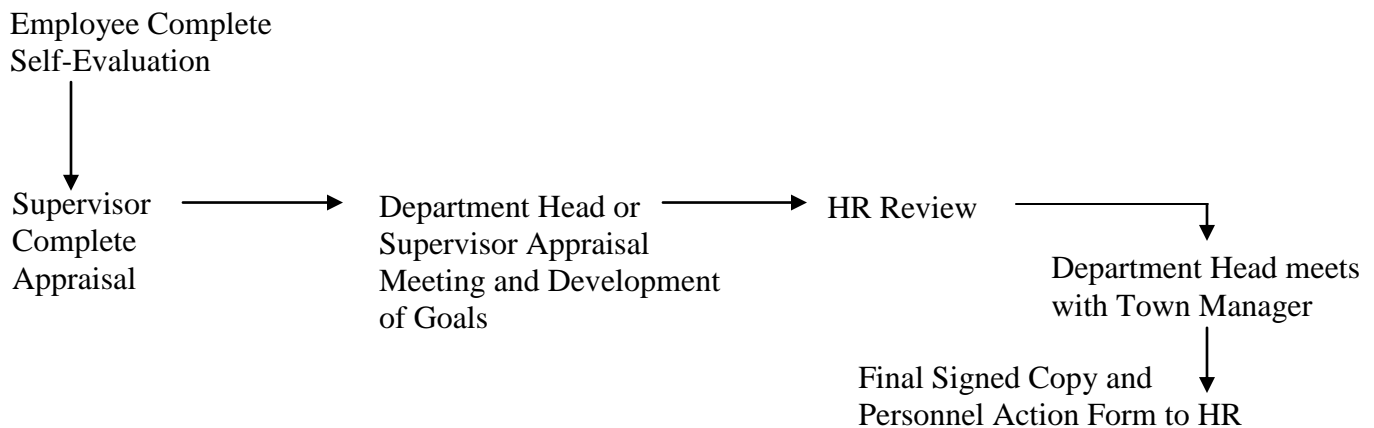
Attach Performance Examples Form.

(Employee Assessment) is to be completed by the employee and returned to the Department Head/Supervisor as part of the appraisal package.

(Development Plan) is to be completed jointly with the employee during the appraisal meeting.

Refer any questions concerning the use or completion of this form to the Human Resources Department.

---

**Performance Appraisal Process**

Employee Complete
Self-Evaluation
↓
Supervisor → Department Head or → HR Review →
Complete         Supervisor Appraisal
Appraisal        Meeting and Development          Department Head meets
                 of Goals                          with Town Manager
                                                         ↓
                                  Final Signed Copy and
                                  Personnel Action Form to HR

---

_____
**HR Reviewer**        **Date**

## 1.  Service Delivery (Internal and External)
*Committed to customer service: understands customer needs, expectations and priorities.
*Exercises fiscal responsibility and accountability.
*Maintains area of expertise over functions and operations.
*Achieves quality results and high productivity.
*Follow through action taken on citizen complaints/inquiries
*
*
*

| Exceeds Expectations | Meets Expectations | Needs Improvement | Unsatisfactory | Developing |
|:---:|:---:|:---:|:---:|:---:|
| ☐ | ☐ | ☐ | ☐ | ☐ |

**Comments:** (May include examples to support rating, suggestions for further growth and development or suggestions for improvement.)

## 2.  Professionalism, Image and Integrity
*Maintains confidences and accepted as trustworthy.
*Maintains professional knowledge and remains current in field(s) of expertise.
*Fulfills charter responsibilities, complies with statutory requirements.
*Demonstrates honesty and integrity.
*Represents the Town with a positive outlook.
*Committed to professional ethics.
*Takes consistent positions with different audiences.
*Sets high standards for personal performance; accepts personal ownership for performance, commitments, and goals.
*Follows through on commitments; is reliable and dependable.
*Continuously pursues learning and self-development.
*Reports to work on time, and is seldom absent.
*Clear knowledge of all aspects of the position.
*
*
*

| Exceeds Expectations | Meets Expectations | Needs Improvement | Unsatisfactory | Developing |
|:---:|:---:|:---:|:---:|:---:|
| ☐ | ☐ | ☐ | ☐ | ☐ |

**Comments:** (May include examples to support rating, suggestions for further growth and development or suggestions for improvement.)

## 3.  Communication

*Expresses ideas and information with clarity and conciseness in both written and verbal form.
*Uses good judgment regarding sensitive issues.
*Provides information to the Supervisor in a timely fashion; keeps appropriate people informed.
*Maintains good relations with external bodies, i.e. media, Town Council, boards, commissions and the general public and provides appropriate support/guidance to Boards & Commissions.
*Fosters and exercises upward and downward communication within department; encourages communication between departments.
*Practices good interpersonal skills.
*Files timely and complete activity reports, as required by Supervisor.
*Open and accessible to public, peers and employees at all levels within the organization.
*Encourages the open expression of ideas and opinions; able to synthesize divergent views; active listener.
*
*
*

| Exceeds Expectations | Meets Expectations | Needs Improvement | Unsatisfactory | Developing |
|:---:|:---:|:---:|:---:|:---:|
| ☐ | ☐ | ☐ | ☐ | ☐ |

**Comments:** (May include examples to support rating, suggestions for further growth and development or suggestions for improvement.)

## 4.  Creativity and Innovation

*Open to new ideas; thinks ahead; proactive.
*Identifies and recommends steps to improve productivity (other than adding staff).
*Makes use of appropriate technology, including personal computers and network software such as E-Mail.
*Flexible, adaptive to change; comfortable with role as change agent for the department and organization.
*Exercises problem solving approach to work assignments.
*Self Starter.  Initiates change.  Seeks new responsibilities.
*
*
*

| Exceeds Expectations | Meets Expectations | Needs Improvement | Unsatisfactory | Developing |
|:---:|:---:|:---:|:---:|:---:|
| ☐ | ☐ | ☐ | ☐ | ☐ |

**Comments:** (May include examples to support rating, suggestions for further growth and development or suggestions for improvement.)

**5. Staff and Team Relations**
*Treats others with respect, sensitivity and dignity.
*Broad organization perspective; concerned with more than just individual department.
*Seeks to build consensus where possible; works toward shared/common goals.
*Listens to other opinions, open to suggestions, cooperates well with others; builds relationships.
*Involves others in decision making process.
*Works well with others to accomplish team objectives.
*
*
*

| Exceeds Expectations | Meets Expectations | Needs Improvement | Unsatisfactory | Developing |
|:---:|:---:|:---:|:---:|:---:|
| ☐ | ☐ | ☐ | ☐ | ☐ |

**Comments:** (May include examples to support rating, suggestions for further growth and development or suggestions for improvement.)

**6. Management and Leadership** (Mandatory for management; optional for others)
**a. Managing and Developing People**
*Builds a strong team with complementary strengths.
*Makes hiring decisions based on the best interest of the organization and with consideration for State and Federal laws governing the selection process.
*Inspires cooperation and delegates responsibility; able to motivate others to accomplish tasks.
*Provides clear explanation of requirements.
*Anticipates, identifies, and works to remove performance barriers.
*Empowers people to make decisions and take action.
*Effectively manages conflict and crisis.
*Makes the tough decisions.
*Promotes and ensures safe working conditions.
*Actively contributes to EEO/AAP efforts and results.
*Uses training and job assignments to facilitate learning.
*Provides appropriate recognition and rewards.
*Provides constructive performance feedback through coaching and regular performance reviews.
*Motivates team and builds commitment.
*
*
*

| Exceeds Expectations | Meets Expectations | Needs Improvement | Unsatisfactory | Developing |
|:---:|:---:|:---:|:---:|:---:|
| ☐ | ☐ | ☐ | ☐ | ☐ |

**Comments:** (May include examples to support rating, suggestions for further growth and development or suggestions for improvement.)

**6. Management and Leadership** (Mandatory for Department Heads Only; may be used for other supervisory personnel at discretion of reviewer)

**b. Department Planning and Management**

*Sets meaningful goals and deadlines

*Develops, administers, and manages budget according to guidelines and Town Manager expectations.

*Conducts financial and other technical analyses as required.

*Maintains objectivity, organizes ideas well, uses logic in decisions, and thinks systematically.

*Anticipates issues; uses strategic planning principles.

*Develops practical plans and schedules for meeting meaningful goals and deadlines; sets priorities; bases planning decisions on facts and data; considers alternative approaches and anticipates barriers to getting the job done.

*Seeks continuous improvement in systems, processes, and procedures.

*Coordinates and monitors department operations; organizes work initiatives and delegates implementation as needed.

*Persistent and resourceful in analyzing and solving problems to meet the plan and achieve results; contributes high quality ideas and successful solutions; gets the job done.

*Takes corrective action when appropriate.

*

*

*

| Exceeds Expectations | Meets Expectations | Needs Improvement | Unsatisfactory | Developing |
|---|---|---|---|---|
| ☐ | ☐ | ☐ | ☐ | ☐ |

**Comments:** (May include examples to support rating, suggestions for further growth and development or suggestions for improvement.)

---

**7. Administrative Support Staff**

*Actively seeks opportunities for continued development.

*Learns and applies advancing technologies in the workplace.

*Innovatively applies new technology to increase effectiveness of self and department.

*Initiates processes to enhance department systems/functions.

*Completes assignments with consistently high level of quality (accuracy, neatness, thoroughness, completeness).

*Demonstrates resourcefulness and adaptability in application of skills.

*Carefully plans work and sets challenging goals and work schedule.

*Makes effective use of time, meets deadlines.

*

*

*

| Exceeds Expectations | Meets Expectations | Needs Improvement | Unsatisfactory | Developing |
|---|---|---|---|---|
| ☐ | ☐ | ☐ | ☐ | ☐ |

**Comments:** (May include examples to support rating, suggestions for further growth and development or suggestions for improvement.)

**Please respond to the following on a separate sheet(s) (limit 5 pages), and submit to your Department Head/Supervisor for review.  The performance evaluation will provide an opportunity to discuss your responses with your Department Head/Supervisor.**

**Information submitted:**

1.  List significant accomplishments since last evaluation.  Did you meet your goals?
    **(See Attached)**


2.  Assess your department (Strengths, weaknesses, equipment, staffing, areas of concern, etc.).
    **(See Attached)**


3.  What can your supervisor do to assist you in your professional growth or to support you in fulfilling your responsibilities?
    **(See Attached)**


4.  Here's how I would rate my performance during this evaluation period (Please Select One*):

    ☐ **E**        ☐ **M**        ☐ **N**        ☐ **U**        ☐ **D**

    **(E) Exceeds Expectations; (M) Meets Expectations; (N) Needs Improvement;**
    **(U) Unsatisfactory; (D) Developing**

---

**THIS SECTION WILL BE JOINTLY DEVELOPED BETWEEN THE EMPLOYEE AND SUPERVISOR, DURING THE PERFORMANCE EVALUATION MEETING.**

1.  Goals for next year:  (Goals may be developed in two areas: 1) in support of your personal growth and development and 2) in support of organization mission.)




2.  Remedial Activities:  If necessary, action needed to correct unsatisfactory performance.




Additional Comments (at discretion of reviewer):

---

**Employee Signature:** _____

**Date:** _____

{I do not agree with this appraisal and my signature only represents acknowledgement of the appraisal. _____ (initial here)}

**Supervisor Signature:** _____

**Date:** _____

Original to Personnel File

# Performance Review

Name __Matthew B. Galligan__ _____ Date of Review_____

Job Title __Town Manager – Town of South Windsor__ Department: __Office of the Town Manager__

## Section I—Major Areas of Responsibility

**Performance Ratings:**

**Outstanding** – Consistently far exceeds expectations.

**Above Expectations** - Consistently meets and frequently exceeds expectations.

**Meets Expectations** - Consistently meets and occasionally exceeds expectations.

**Below Expectations** - Occasionally fails to meet expectations.

**Needs Improvement** - Frequently fails to meet expectations.

**Major Areas of Responsibility/Goals—**These typically relate to the major activities that the employee performs on the job and/or the goals that have been discussed and established by the manager. This is also an opportunity to describe noteworthy accomplishments. (Note: the job description should be reviewed and updated, if necessary, as part of the Performance Review process.)

| Primary Performance Expectations: Responsibilities/Goals | Notes/Comments on Achievements & Areas for Improvement | Outstanding Above Expectations Meets Expectations Below Expectations Needs Improvement |
|---|---|---|
| 1. Financial | | |
| 2. Economic Development | | |
| 3. Community/Customer Service | | |
| 4. Infrastructure | | |
| 5. Management & Workload Delegation to Town Staff | | |
| 6. Creativity & Innovation | | |
| 7. Management & Leadership Relationships to Address Challenges | | |

| Primary Performance Expectations: Responsibilities/Goals | Notes/Comments on Achievements & Areas for Improvement | |
|---|---|---|
| 8.  Professional Development | | |
| 9.  Relationship with Town Council | | |
| 10.  Succession Planning at Town Managers Level | | |

# Section II—Goals

**Goals for Next Review Period**   (To be completed by the employee and then discussed and agreed upon with the manager).  Identify three to five goals to be accomplished during the next review period by thinking of the major activities related to your job.  At the end of the review period, rate how well these goals were achieved.  Keep in mind that during the review period, goals and evaluation criteria may be revised, added, or deleted in order to best meet changing organizational needs.  This form should be helpful in completing next year's performance review.

| GOALS for UPCOMING RATING PERIOD | Projected Completion |
|---|---|
| 1.  Financial | |
| 2.  Economic Development | |
| 3.  Community/Customer Service | |
| 4.  Infrastructure | |
| 5.  Management & Workload Delegation to Town Staff | |
| 6.  Creativity & Innovation | |
| 7.  Management & Leadership Relationships to Address Challenges | |

| GOALS for UPCOMING RATING PERIOD | Projected Completion |
|---|---|
| 8.   Professional Development | |
| 9.   Relationship with Town Council | |
| 10.  Succession Planning at Town Managers Level | |

Recommended Compensation Effective July 1, 2017: _____

Rating reviewed, discussed and agreed upon by the Town Council on Date:_____

Rated by Town Council Personnel Committee (S. Anwar – L. Maneeley – J. Snyder)

Janice Snyder: _____Date:_____
Chair - Personnel Committee

Received:  Matthew B. Galligan:_____Date:_____

# TOWN MANAGER'S GOALS

# AUGUST 1, 2017 – JULY 31, 2018

I. Communications:
   a. Expand BATV-TV "Bloomfield Today" Broadcasts on Town Topics;
   b. Provide, coordinate and educate new Town Council members.

II. Major Capital Projects:
   a. Complete Phase II Filley Park – Aug. 2018
   b. Complete Granby Street pavement rehabilitation/drainage – November 2018 (subject to State and CRCOG funding);
   c. Prosser Library Improvements: Acquire Riley Lumber site - June 2018;
   d. Public Works Facility: Proceed to bid, construction, financing - December 2018;
   e. Human Services Facility: Proceed to bid, construction, financing - May 2019;
   f. Construction of sidewalk on Mountain Avenue  – June 2018;
   g. East Coast Greenway: Initiate construction of Phase I (March 2018). Complete trail design (Phase II) with Simsbury (June 2018). Complete trail location in coordination with City of Hartford on southern route – June 2018;
   h. Complete design, bidding and contract selection for replacement Mountain Avenue bridge project (date subject to state funding);
   i. Continue Blue Hills Avenue streetscape program; concept phase, initiate DOT 'slimming' initiative (June 2018);
   j. Implement Town Green improvements (June 2018);
   k. Complete design work on Public Safety Communication System improvements.
   l. Initiate acquisition of neighboring property for WHGC parking expansion.

III.  Economic Development:
   a.  Facilitate Economic Development Committee's shared parking initiative requiring TPZ and Town Council action - 3/15/18;
   b.  Explore collaborative working arrangements with the University of Hartford:  Enterprise Corridor; potential development planning for University of Hartford property in Bloomfield including hotel– July 2018;
   c.  Explore development possibilities for vacant land in Day Hill Road/Blue Hills Avenue area.

IV.  Financial Management:
   a.  Coordinate with the Director of Finance debt offerings for the Human Services and Department of Public Works properties – July 2018;
   b.  Explore combining Finance and IT services with Bloomfield BOE and/or surrounding Towns;
   c.  Prepare implementation schedule for 2019 revaluation.
   d.  Prepare schedule for tax delinquent property sale.

V.  Personnel Management:
   a.  Develop formal orientation program for new Town employees – January 2018;
   b.  Explore combining Human Resources activities with the Bloomfield Board of Education – July 2018;
   c.  Explore and develop shared staff positions with other municipalities.

VI.  Facilities Maintenance and Management:
   a.  Explore combining facilities maintenance activities with the Board of Education – July 2018;
   b.  Pursue goal of Bloomfield being first community in Connecticut to meet sustainability energy goal.

# TOWN MANAGER EVALUATION FORM

## TOWN OF BLOOMFIELD

Evaluator _____     Date _____

| Evaluation Point System | | | |
|---|---|---|---|
| Weak/Poor | Fair/Satisfactory | Good/Above Average | Excellent |
| 1 | 2 | 3 | 4 |

| Goals | Performance Results/Comments | Points |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |
| 6. | | |
| 7. | | |
| 8. | | |
| 9. | | |

Total Goal Points _____

| Work Characteristics | Comments | Points |
|---|---|---|
| 1 Communications – Does the Town Manager keep you informed in a timely manner; are verbal and written presentations clear and thorough | | |
| 2 Listening – Does the Town Manger listen to your concerns and citizen concerns and follow up promptly with a response or when a response is expected | | |
| 3 Interpersonal Skills – Does the Town Manager work well with subordinates, council, citizens, etc by sharing information, resolving conflicts, working cooperatively and courteously | | |
| 4 Budget Preparation – Are you comfortable with the Town Manager's budget preparation, presentations, explanations and ability to forecast important issues and anticipate changes | | |
| 5 Customer Service – Does the Town Manger provide good customer service to citizens and promote staff to provide positive customer service | | |
| 6 Initiative – Does Town Manager take the initiative to solve problems; look for new ideas to handle issues; manage emergency situations | | |
| 7 Leadership – Does the Town Manager promote team work with his department heads and other staff; does the Town Manger establish priorities for Town staff based on Council Policy | | |
| 8 Planning – Does the Town Manager develop and carry out short and long term action plans; anticipate change and restructure tasks and priorities based on resources | | |
| 9 Represent the Town – Is the Town Manager effective in representing the Town's interests when dealing with other agencies | | |
| 10 Overall- Is the Town Manager easy to talk to, honest, ethical, dependable, etc | | |

Total Points _____

# PERFORMANCE GOAL SETTING PROCESS

This is a modified version of the *Nominal Group Technique* developed during the World War II by the Rand Corporation. We use this process because it was designed to entice participation from all parties in a nonthreatening manner. The process should result in ten performance goals being established and agreed to be the City Council that form the basis for an objective evaluation of the City Manager's performance over a preestablished period of time.

This process is designed to encourage participants to:

✓ Work together for peak performance
✓ Focus on what is important now and in future
✓ Set aside personal agendas in favor of City-wide improvements
✓ Identify tangible and attainable goals
✓ Provide good, short term and mid-range direction for management and the organization which is consistent with long-range organizational goals
✓ Get employees involved in improvement process

It is intended to avoid:

✓ Wasting time
✓ Diverging goals
✓ Redoing the same goals - throwing out the good stuff
✓ Lack of commitment
✓ Disagreement over distribution of limited resources
✓ Organizational fuzziness, keep to important goals

The level of success of the process will be greatly enhanced if all participants bear in mind the following communication rules:

✓ Listen
✓ Be orderly
✓ Respect each others view points
✓ One at a time
✓ Draw others out, the process should not be dominated by a few
✓ Stick to the point
✓ Be objective

**GOALS** must be:

✓ Worthwhile
✓ Feasible
✓ Able to be accomplished within a specified time period
✓ Assignable to a specific person accomplishing the goal
✓ Results must be measurable

**OBJECTIVES** are components of goals which are milestones for measuring progress toward realizing a goal. For example, if the goal is financial security, an objective might be getting a job.

**TASKS** (or elements) are day-to-day activities that collectively result in an objective being met.

# PROCESS

I. Set *GROUND RULES* (Use flip chart and tape it to the wall)

    ✓ Decide what time frame to use for accomplishing goals

    ✓ Decide who will participate in both *goal identification* and *goal prioritization*

    ✓ Set time to adjourn

    ✓ Discuss ideas openly remembering that there are no bad ideas

    ✓ Not too many ground rules

II. Establish an *AGENDA* for the day to include at a minimum: (Suggest use flip chart and tape pages to wall)

    ✓ Goal identification

    ✓ Discussion of suggested goals to ensure that each one is understood and combine any similar and/or closely related goals

    ✓ Ranking of goals to establish top ten and their order of priority

    ✓ Assure agreement among group members

    ✓ Assign responsibility to manager

    ✓ Discuss Goals (Ensure that each one is understood and combine goals if possible)

III. Identify *GOALS*

    ✓ Provide each participant with a pencil and paper and time (suggest ten minutes) to write down their suggested goals.

    ✓ Using a round robin technique, have each participant verbally identify one goal at a time.

    ✓ Number each and write it on the flip chart and tape each sheet of paper to the wall. (Limit discussion during this phase.)

IV. Rank (Prioritize) *GOALS*

    ✓ Provide each participant with seven 3 x 5 cards.

    ✓ Have each select his or her seven (7) top goals from the sheets taped to the wall.

    ✓ Have each participant write the name of each selected goal one each one the 3 x 5 cards. The number of the goal (from the flip chart) is to be placed in the top left corner of the card.

    ✓ Next, have each participant spread the seven cards in front of him/her like a hand of playing cards.

✓ Then, have each choose his/her _highest_ priority goal and mark it with the number "7" in the lower right corner of the card and turn the card over.

✓ Next, he or she is to select their lowest priority goal and mark it with the number "1" and turn it over.

✓ The participants are to continue this process ranking high then low until they have ranked all seven of their chosen goals.

*When they have finished choosing their seven top goals and prioritizing them:*

✓ Again using the round robin technique, have each participant read his or her goals with the scoring.

✓ Using the flip chart, write each by goal number indicating the assigned score.

✓ When you have all of the scores, tally them by total score and by number of responses the goal received (i.e., Goal # 15 -- 17/4).

✓ The 10 goals which receive the highest scores win. Use the number of participant responses to break ties. Any remaining ties count for one of the ten.


V.    Assign *RESPONSIBILITY* and *REPORT BACK*

At this point, the Council will typically ask the manager to take the list and with staff input, determine the resources necessary to meet each goal, the time frame required to complete each, assign staff responsibility for each goal and develop objectives for the Council's use in measuring progress toward completing each goal.   This information is brought back to Council at a predetermined time for input and approval.

# Manager Evaluations
## HANDBOOK

**ICMA**

# 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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Washington, DC 20002-4201
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icma.org

# Contents

## 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

The 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[1]

## 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[2]
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-

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.

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

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.[3]

## 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[4]

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

# Town of Simsbury

**DRAFT**
**Town Manager Goals, February 2018 – January 2019**

## Human Resources/Labor Relations
- Conduct leadership team recruitments. Successfully onboard and orient new team members.
  - Police Chief
  - Finance Director/Treasurer
  - Director of Culture, Parks, and Recreation
- Begin negotiations for successor collective bargaining agreement with IBPO.
- Conduct first annual leadership retreat (pending availability of funds).
- Draft and implement a professional travel policy.
- Revise the inclement weather policy.

## Economic Development
- Support the work of the Board of Selectmen economic development work group.
- Assist in the preparation and development of the Economic Development Commission Ordinance as required by Charter.
- Complete the building permit fee analysis.
- Conduct visitations and outreach with the business community.
- Coordinate and assist in preparation of economic development strategic plan or other study/technical assistance (pending availability of funds).

## Financial Management
- Implement changes to Annual Report. Complete FY 16/17 and 17/18 Annual Reports utilizing new format and content.
- Prepare and submit FY 18/19 operating and capital budgets in accordance with Charter timeline requirements.
- Update the budget document to reflect GFOA recommended best practices for budget document presentation.
- Develop a grant application form and process for outside agencies requesting funding from the town.
- Assist Board of Finance in developing a capital asset policy.
- Assist Board of Finance in developing a revised capital and CNR policy.
- Assist Board of Finance and Board of Selectmen in the development of a revised Purchasing Ordinance.
- Assist Board of Selectmen in the development of a policy and procedures for tax sales.

# Town of Simsbury

- Conduct a cost recovery and community use analysis of the Parks and Recreation Department.
- Conduct an analysis of contractor fees for the Parks and Recreation Department.
- Complete analysis of ambulance service delivery and costs.

**Special Projects**
- Support the work of the Board of Selectmen recruitment and appointment of unaffiliated voters to committees work group.
- Support the work of the Board of Selectmen water shortage ordinance work group.
- Develop and implement storm water management ordinance (MS4).
- Develop and distribute a monthly newsletter promoting town governmental activities, news, and notes.
- Issue a RFQ for labor counsel.
- Issue a RFQ for employee benefits consultant (if BOE is in support of).
- Research options for expanding our senior transportation network.
- Conduct FOIA training for staff, boards, committees, and commissions. Develop a FOIA policy for the town, FOIA form, centralized process for handling requests, and a "nuts and bolts" brochure for committees.
- Develop and implement a policy for banners along Hopmeadow Street.
- Assist the Tariffville Neighborhood Association with initiatives related to special events, infrastructure improvements, and economic development.

# Town of Simsbury

**Personnel Sub-Committee**
**Special Meeting**
Monday, April 23, 2018
Room 103, Town Hall, 933 Hopmeadow Street

## MINUTES – "Subject to Approval"

Members Present: Sean Askham, Chris Kelly, Eric Wellman

Staff Present: Maria Capriola

The meeting was called to order at 5:35pm.

## 1) Appointment to Board of Assessment Appeals
The Committee reviewed and discussed the recommended appointment of Mr. Robert Heagney (R) as a temporary regular member to the Board of Assessment Appeals with a term expiring September 30, 2018. Askham made the motion, seconded by Kelly to, "*recommend to the Board of Selectmen the appointment of Robert Heagney (R) as a temporary regular member to the Board of Assessment Appeals with a term expiring September 30, 2018.*" The recommendation will be forwarded to the full Board of Selectmen at their April 23rd meeting.

## 2) Minutes
The minutes of March 26, 2018 and October 19, 2017 were approved as presented by consensus.

The meeting adjourned at 5:38pm.

Respectfully Submitted,
Maria E. Capriola
Town Manager
Town of Simsbury