



Practical Tools for Defining Performance Expectations for Department Heads

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League of California Cities

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Panelists



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Practical Tools for Defining Performance Expectations for Department Heads



Learn About Some Tools

For setting expectations, fostering leadership development, and constructively checking on performance



Hear Insights

What it takes to implement these tools, what to look out for



Ask Questions and Offer Comments

How can it apply to your situation



Concord's Results Based Performance Management Program

Valerie Barone, City Manager



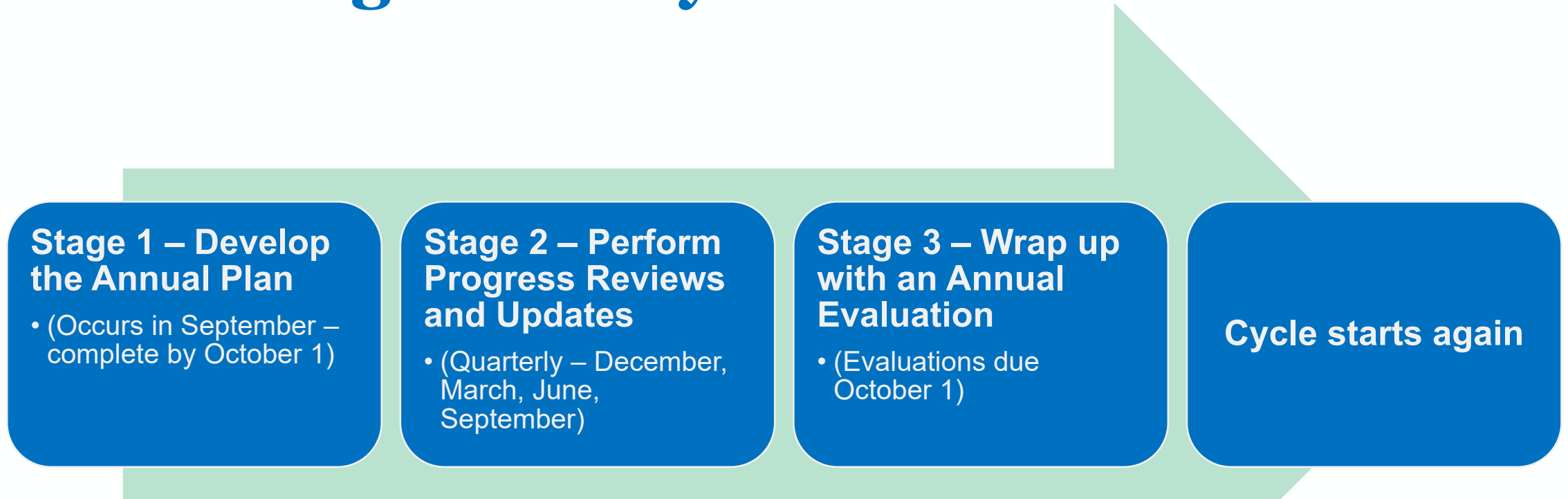
Results-Based Performance Management

The Why

- **Builds alignment – Council goals “waterfall” into organization** – everyone is moving in the same direction
- **Results-focused** vs. activity focused
- **Achieves** results – solid performance
- Individualized to fit role, **not one size fits all**
- **Ongoing** partnership approach



Results-Based Performance Management Cycle



Results-Based System Benefits

Drives productivity

Creates focus

Reinforces
accountability

Stimulates
motivation

Develops planning
skills

Promotes self-
management

Makes evaluations
more objective
than subjective
and easier to do

Builds coaching
skills for managers

Allows for flexibility
to incorporate
priority changes

Helps drive
improvement in
performance



Stage 1: The Annual Plan

Three key ingredients:

1. Use **SMART** Goals: **S**pecific/clear, **M**easurable, **A**ction Oriented, **R**esults, **T**imebound
2. Develop an Action Plan for each SMART Goal—steps to achieve the SMART Goal
3. Define the Measurement that will demonstrate achievement of the SMART Goal

**Employee develops first draft of Annual Plan and Reviews with Manager.
Final Plan is developed collaboratively.**



Stage 2 – Quarterly Check-ins

1. Assess progress against goal—Monitor against measurement sources
2. Update plans as appropriate
 - a) Incorporate changes to overcome challenges or improve performance
 - b) Reflect changes to goals, if appropriate
3. Document performance feedback and changes made to the Annual Plan

▪



Stage 3: Annual Written Review

For each performance goal:

1. Determine if goal was achieved using agreed to measurement(s)—document in writing any noteworthy achievements or constraints.
2. If not achieved or not fully achieved, explain why in writing.
 - › If goal carries forward to next year, make changes to achieve better results
3. Write an overall summary of performance for the year – support the summary with data and examples

Collaboratively Write the Annual Review



Tips for Success: Reviewer's Responsibilities

1. Come prepared to meetings (Don't wing it).
2. Share the Council's goals, the CM's goals and your own goals with the employee and highlight what goals waterfall.
3. Allow the employee time to read written documents (i.e., your comments on the annual review) before you collaborate on the final version.
4. Ask questions to encourage participation. Listen more than you talk.
5. Keep the focus on the employee's performance.
6. Conduct meetings in a private place.



Tips for Success: Reviewee's Responsibilities

1. Draft your own annual performance plan to use as a base for the original Annual Plan discussion.
2. Draft your own annual year end written review and submit to your manager so it may be used by the Manager as a base to add their thoughts, observations, and ratings.
3. Put the measurement mechanisms in place that track the progress and results of your goals—bring to each quarterly check-in and submit at end of year with review.
4. Keep your performance plan visible at all times and follow it.
5. Provide informal updates to your manager along the way so they are aware of progress on your goals and challenges.
6. Meet quarterly with your manager to assess progress with all your goals and keep your plan up-to-date with any new priorities.



**What we have
learned in
implementing
this system**





Leveraging Performance Management and Data Analytics in Executing City Council Priority Goals

Harry Black, Seasoned City Manager



Four Parts

1

Setting the Foundation >

3

Improving Process >

2

Tracking Performance >

4

Telling Your Story with Data >

Integrated Performance Management System



One Page Strategic Plan + Scorecard



Translating City Council goals into city strategies, plans, and metrics. The One Page Strategic Plan® provides the framework for performance management.



Open Data Portal

Sharing data with the public through an online portal with interactive dashboards



STAT Meetings

Improving effective delivery of municipal services by leveraging shared data across departments.



Innovation lab (iLab)

Employing LEAN principles to improve business processes for efficiency and effectiveness.

Key Pillars



Strategic Planning

Turning City Council goals into actionable plans and metrics using the One Page Strategic Plan® framework.



Innovation Lab

Employing LEAN principles to improve business processes for efficiency and effectiveness.



StocktonStat

Improving effective delivery of municipal services by leveraging shared data across departments.



Performance Management Agreements

Outline strategies, plans, metrics to ensure alignment with City Council priority goals.



Open Data

Sharing data with the public through an interactive, online portal

One Page Strategic Plan (OGSP)®



Mission

Why do we exist; what makes us come together as an organization.



Objective

“What” success looks like for the organization over a typical 3-year period.



Goals

The key metrics which will track progress vs. the objective.



Strategies

The “choices” that define where the organization will focus to grow and outperform the competition.



Plans

The key projects to deliver each strategy within 9-12 months, with a single owner and completion date.

1994

CompStat developed by NYPD to combat crime trends with data.

A Brief History of “Stat”

2000

CitiStat meetings kick-off in Baltimore extending the CompStat model to all municipal functions.

2015

Cincinnati launched CincyStat, hosting over 400 meetings across 26 departments since its inception.

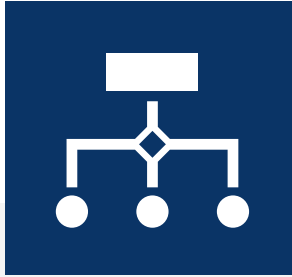
2020

StocktonStat had its inaugural meetings November 2020.



The OGSP Scorecard

Defining metrics, collecting data, and measuring desired outcomes



Organizational Measures

Organizational measures that are outcome driven.

Example Metric:

Improve livability indicators.



Department/ Division Measures

Dept./Div. measures that capture how processes are working to support outcomes.

Example Metric:

Close 90% of pothole work orders within 10 days.



Team/ Individual Measures

Team/individual measures that count outputs and workload.

Example Metric:

Number of potholes filled.

Vision: Stockton will become the best city in America to live, raise a family, and grow a business.

FY 2024-25 OBJECTIVE:

'What' is Winning ...

Provide an exceptional level of customer service to the Stockton community through accountable, innovative, efficient, and effective management of City resources to achieve our vision for Stockton.

COUNCIL PRIORITY GOALS:

• **Work with partners to improve quality of life, increase literacy, develop the workforce, and expand youth programming**

• **Focus on crime reduction in focus areas**

• **Develop solutions to address homelessness, including increasing the affordable housing supply**

• **Leverage city and partner resources in impacting overall public health, community wellbeing, and community resiliency**

• **Prioritize inclusive economic development to grow the local economy and create employment opportunities for residents**

STRATEGIES: (Captain)

'How' we will Win...

1. Safer Streets (Chief Stanley McFadden/Chief Richard Edwards)

- a) Reimagine Stockton Police Department (SPD)
- b) Increase community partnerships, engagement, and recruitment
- c) Continue data driven strategies and tactics
- d) Reduce violent crime
- e) Further address quality of life issues by restoring previously shuttered fire companies

2. Growing Economy (Stephanie Ocasio/Carrie Wright)

- a) Grow jobs
- b) Continue to implement the Economic Development Strategic Plan
- c) Continue to transform the overall development process
- d) Increase small business development with an equity lens
- e) Foster and support inclusive entrepreneurship

3. Housing Opportunities for All (Stephanie Ocasio/Carrie Wright)

- a) Continue to transform the overall development process
- b) Optimize partnerships and linkages
- c) Increase investment in high impact affordable and market rate housing strategies with a focused provision for the workforce accommodation
- d) Optimize performance-based, equity-informed distribution of available city funds, e.g.grants

4. Thriving and Healthy Neighborhoods (Kris Farro)

- a) Establish a City integrated team approach, e.g.cross-departmental team to optimize clean, sustainable, and safe neighborhoods
- b) Increase placemaking, space activation, and community engagement
- c) Optimize alignment of youth programs by prioritizing community interests and needs
- d) Optimize overall community well-being with an equity lens
- e) Continue to evolve the City's diversity, equity, and inclusion (DEI) efforts
- f) Expand sustainability and environmental strategies

5. Fiscal Sustainability (Jay Kapoor)

- a) Continue learning from the past
- b) Mitigate risk
- c) Optimize resources through innovative business practices
- d) Optimize city workforce, recruitment, retention, training, and development
- e) Continue to evolve the City's diversity, equity, and inclusion (DEI) efforts

FY 2024-25 PLANS:

- Build upon Ceasefire Strategy to reduce shootings and homicides and the city's crime prevention strategies and tactics through partnership between SPD and OVP
- Emphasize use of SPD's ICAP and OVP's case management systems
- Continue case management and wrap around support for high-risk population
- Expand Fire Investigation program and partnerships to reduce the incidence of arson fires
- Increase community partnerships with a special needs' registry focused on youth and elderly
- Utilize Community and Youth Advisory Boards to empower the community
- Evolve the City Manager's Review Board initiative and calibrate the CareLink program
- Reopening of Truck 7

- Implement the Economic Development Strategic Plan including but not limited to invigorating entrepreneur ecosystem, expanding business façade improvements, and continuing the Stockton re branding initiative
- Implement workforce development programming including youth employment and development through strengthening partnerships with local education institutions
- Increase space activation through closing the fiber ring, enhanced small business support, and availability of customer self service solutions

- Complete Development Code (Stockton Municipal Code Title 16) overhaul to streamline and clarify the development process
- Continue to shorten transaction/cycle process times in permit application processing
- Provide ongoing support and commitment to adopted homelessness plans
- Increase overall program impact and effectiveness emphasizing data informed decisions
- Complete Housing Action Plan to facilitate and incentivize increased production of market rate and below market rate housing
- Complete the current pipeline of inflight homeless housing projects

- Launch an outdoor mural program through Stockton Arts Commission
- Produce an annual Citywide community cohesion project
- Expand access to resources for youth to enable career development
- Increase multilingual materials
- Expand sustainability/environmental portfolio to include TCC Round 4 implementation, Climate Action Plan update, and equity informed sustainable transportation pilot program
- Enhance efforts to support community-based organizations capacity building
- Expand Clean City initiative and access to related data
- Launch Citywide illegal dumping prevention and mitigation efforts
- Launch a mobile recreation and library program
- Improve parks and related infrastructure

- Upgrade bond rating and enhance financial reporting
- Maximize City revenue sources
- Begin ERP system Phase 4 (Utility Billing) planning and preparation
- Enhance use of Long-Range Financial Plan in decision making
- Continue to operationalize centralized grants administration and coordination
- Expand recruitment efforts, retention plan, and workforce planning and development
- Optimize organizational Cyber Security maturity for continued protection of digital assets

FY 2024-25 METRICS:

- 1a) Reduce nonfatal injury shootings and identify impact of Ceasefire strategy by 5%
- 1b) Increase the number of overall engagements and interventions (Y/N)
- 1c) Establish a baseline number of calls for service diverted to CMC through mobile crisis intervention program (CareLink) or increase the number of calls for service diverted to CMC by 5%
- 1d) Increase overall number of applicants to SPD by 5%
- 1d) Increase the successful completion of OVP wraparound services by 5%
- 1e) Increase average PCI of city roads by 5%

- 2a) Increase social media engagement and followers across channels by 5%
- 2b) Increase city website traffic and engagement by 5%
- 2c) Increase the percentage of building permit projects that receive reviews completed within the published timeframe by 75%
- 2d) Expand meaningful linkages and partnerships with various small business partners (Y/N)
- 2e) Increase the total number of visitors to City venues by 5%.

- 3a) Increase the percentage of housing permit projects that receive reviews completed within the published timeframe by 75%
- 3b) Increase overall grant acquisition rate by 5%
- 3c) Increase Shelter Bed Capacity by 15%
- 3d) Maintain the implementation of the existing equity-informed model for allocating City funds (Y/N)

- 4a) Improve Stockton's livability indicators, i.e. vacant properties, abandoned cars, graffiti, weed abatement, per capita code enforcement, trash and illegal dumping (Y/N)
- 4b) Enhance community cohesion through increased participation in City produced and sponsored events (Y/N)
- 4c) Increase community center, library, and community-based organization utilization (Y/N)
- 4d) Emphasize education, awareness, and investment to positively impact community wellbeing (Y/N)
- 4e) Increase multilingual programming and services (Y/N)
- 4f) Expand the City's environmental and sustainability portfolio that includes the improvement in the city's tree canopy (Y/N)

- 5a) Refresh long range financial plan and increase fiscal transparency (Y/N)
- 5a) Clean/unmodified audit opinions (Y/N)
- 5b) Increase Center for Internet Security (CIS) Controls Self Assessment Tool (CSAT) overall cyber security maturity score by 10%
- 5c) GFOA Certificate of Achievement for Excellence in Financial Reporting for FY23-24 ACFR and Distinguished Budget Presentation Award (Y/N)
- 5d) Increase workforce retention and recruitment (Y/N)
- 5e) Develop diversity, equity, inclusion human capital management roadmap (Y/N)

Updated: 5/31/2024



Performance Management Agreements

**Outline strategies, plans, metrics to ensure alignment
with City Council priority goals.**

How it works





Performance Management and Data Analytics

**What we've learned in
implementing this system**





Performance Agreements for the Executive Team Maraskeshia Smith, City Manager

Why Performance Agreements?

Formal Documents that specify expectations for organizational roles and responsibilities

Dynamic,
engaging, and
supportive

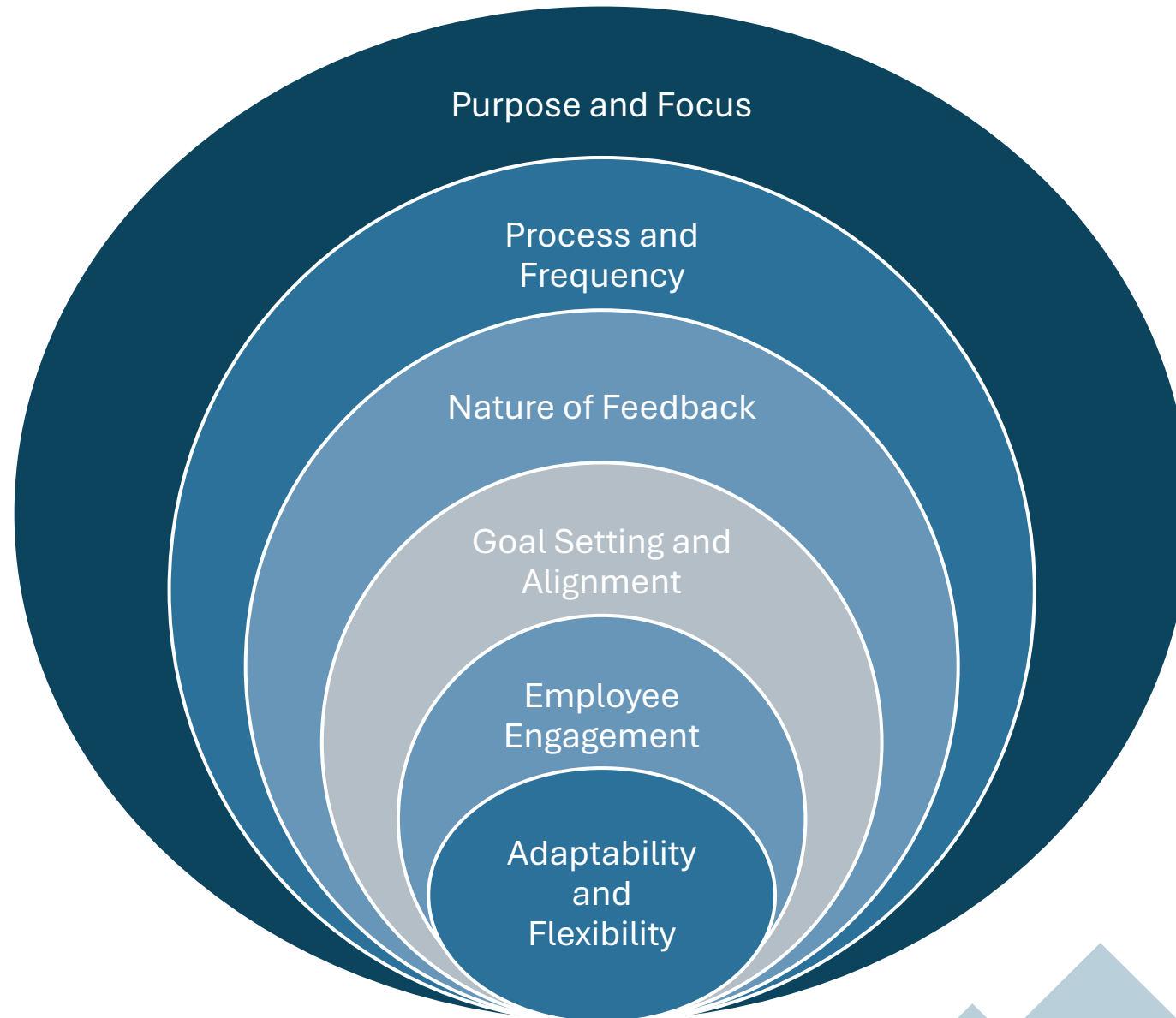
Promotes
ownership and
adaptability

Aligns with
organizational
and council
goals

Cultivates a
healthy,
productive, and
collaborative
work
environment

Encourages
more effective
communication
and
collaboration

Performance Agreement vs. Performance Evaluation



Purpose and Focus

PERFORMANCE EVALUATION

Typically retrospective, focusing on past performance, achievements, and behaviors

Used to justify promotions, raises, and disciplinary actions

PERFORMANCE AGREEMENT

Aligning Goals: Forward-looking and developmental, ensuring individual objectives are tied directly to overarching organizational strategies and goals

Promoting Continuous Improvement: Fosters an environment of agility, responsiveness, and commitment to ongoing progression

Focus on Measurable Outcomes: Prioritize quantifiable results, facilitating continuous improvement through systematic tracking and assessment

Process and Frequency

PERFORMANCE EVALUATION

Occurs annually or semi-annually, with limited opportunities for ongoing feedback

Structured as a formal meeting or review session



PERFORMANCE AGREEMENT



Drafting Process: Involves identifying key objectives and expectations aligned with organizational goals

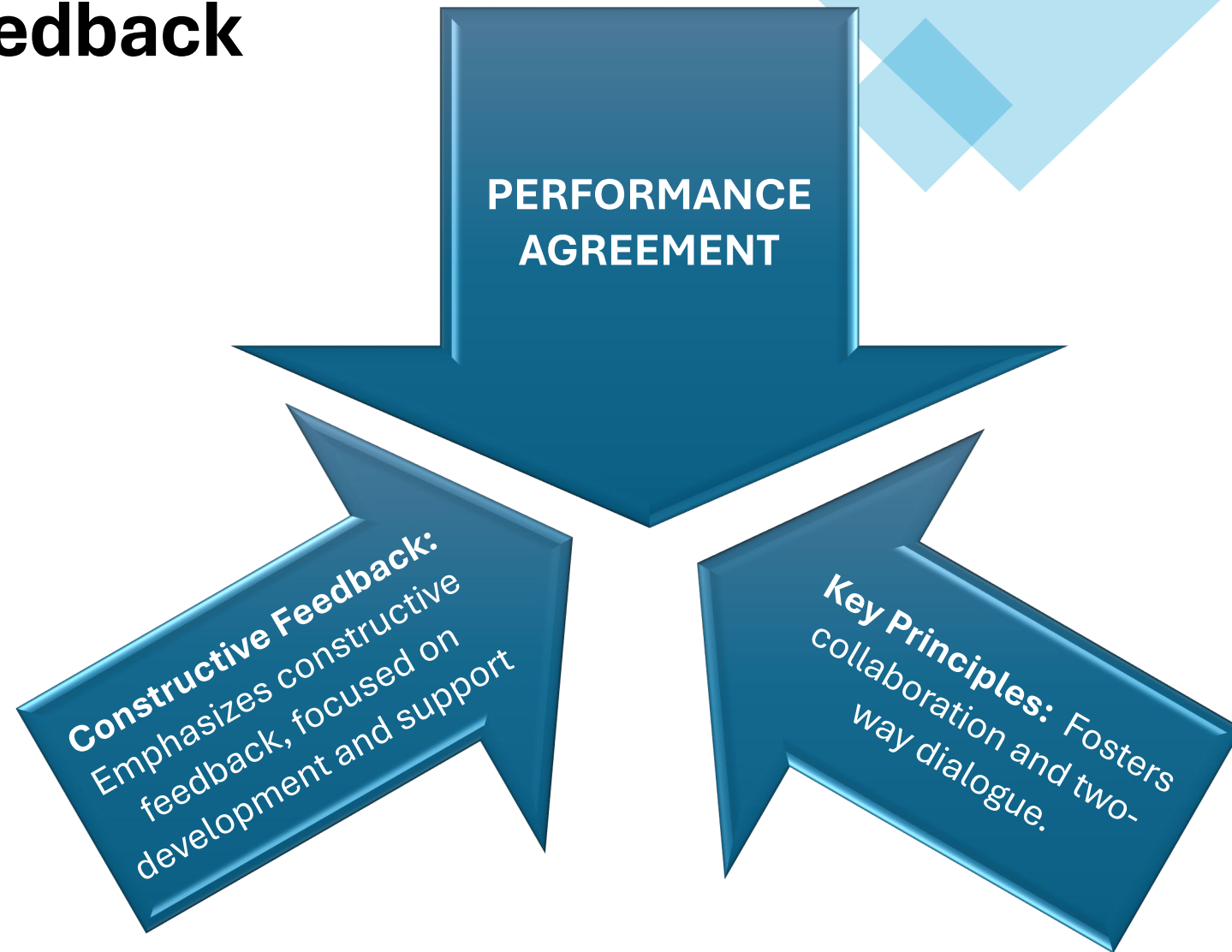
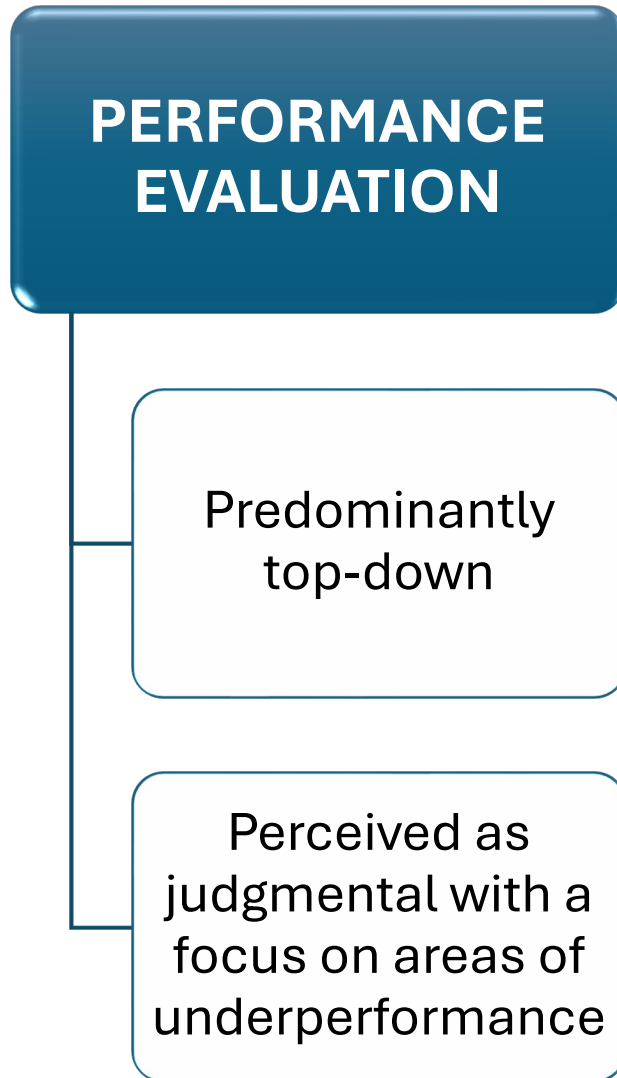


Review and Revise: Involves regular, ongoing conversations and check-ins, promoting a culture of continuous feedback



Check-in Frequency Options: Periodic reviews for timely adjustments.

Nature of Feedback



Goal Setting and Alignment

PERFORMANCE EVALUATION

May not always explicitly link individual performance to broader organizational goals

Goals are commonly set by management with limited employee input

PERFORMANCE AGREEMENT

Introduction to SMART
Goals: Framework ensuring objectives are clear, measurable, achievable and time-bound

Alignment: Align goals to strengthen organizational coherence, fostering synergy across all levels.

Adaptability and Flexibility

PERFORMANCE EVALUATION

Often leads to anxiety and disengagement, as evaluations can be perceived negatively

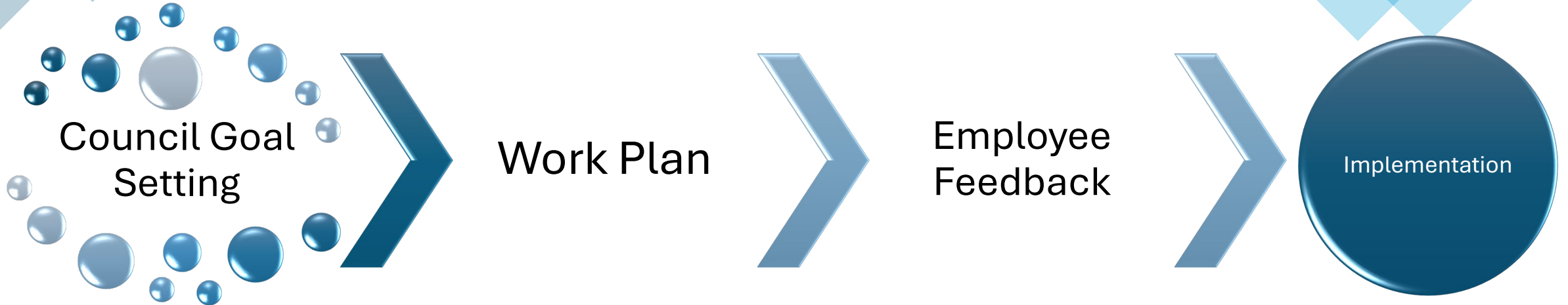
Rewards are typically linked directly to assessment outcomes, not developmental process

PERFORMANCE AGREEMENT

Adaptability: Flexibility in agreements address shifting priorities while adhering to structured accountability process

Strengthens motivation by emphasizing personal and career growth opportunities

Process



Collaboration Essentials: Engaging stakeholders ensures that performance agreements reflect diverse perspectives and align organizational interests.

Documentation Significance: Thorough documentation captures all agreed terms, creating a reference point for accountability and progress tracking

Regular Updates Framework: Establishing a systematic approach for periodic updates keeps performance agreements relevant amidst evolving organizational goals.

What is in the Performance Management Agreement

Department
Mission

Key Department
Functions

Shared priorities:
Department, City
Manager, City
Council

Director
Performance
Objectives

Director
Agreement and
Acknowledgment
of the Stated
Priorities

What We've Learned in Implementing Performance Management Agreements

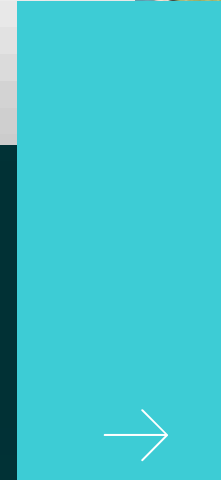




Questions & Comments

Closing Comments

One piece of advice for
city managers *starting
or changing your*
performance
management system
for department heads



Thank you!

“To achieve goals you’ve never achieved before, you need to start doing things you’ve never done before.”

Stephen Covey



Jan Perkins



Valerie Barone



Harry Black



Maraskeshia Smith