TO: The Palo Alto City Council

FROM: Sherry Lund, Consultant

RE: CAO Evaluation Questionnaires and Schedule

DATE: For Council Meeting – June 9, 2008

Following are the proposed schedule, instructions and questionnaires for the 2007-2008 CAO evaluation process. At the June 9 Council meeting I will be asking your assistance in:

- Reviewing the schedule, noting any potential problems you see and correcting as needed.
- Making sure the instructions for completing the questionnaires are clear.
- Adding anything materially missing or making any significant changes you wish on the evaluation questionnaires.

I would like to highlight a few changes in the questionnaires:

- This year, I’m proposing a tailored evaluation questionnaire for each CAO vs. a single generic evaluation for all of them. I see the CAOs as senior, highly leveraged positions that have unique requirements for success.

- More detail has been included in the performance criteria about the core requirements of each job.

- More detail has been included in the performance criteria on leadership, management and talent management.

- More emphasis has been placed on comments vs. rating categories as a means of increasing the evaluation process as a performance management tool. The previous evaluation asked for five numerical ratings plus a single overall comments section. See more detail about comments and ratings below.
• This year, I have kept the 5-point rating scale this year for the sake of continuity. Next year, two out of the four CAOs will be new. I would suggest moving to a 4-point rating scale: Exceeds Expectations, Meets Expectations, Needs Improvement, and Unsatisfactory.

Thank you for your reviewing this information and for your feedback. I look forward to seeing you on June 9th.
Instructions for Completing Confidential CAO Performance Evaluation Questionnaires

Return to Sherry Lund by Friday, June 27
sherrylund@aol.com  fax (650) 854-9702  voice: (650) 854-0540

1. Please be sure to put your name on each questionnaire.

2. Please note that each CAO has his/her own tailored questionnaire.


4. Comments and Ratings
   Comments are far more valuable than numerical ratings in a performance review. Your specific comments and examples guide employees to understand what is working and to make performance improvements. Rating categories provide basic directional feedback--e.g., am I getting better, worse or staying the same and am I exceeding, meeting or not performing against expectations – but they are not very helpful in strengthening performance.

5. The amount of space left for comments is somewhat random. Please use the space you need by continuing on the back or on a separate sheet. Please be sure to put your name and the employee’s name on any separate sheets that you use.


   Assign only one of the following rating options:
   5 - Outstanding – far exceeds requirements and expectations of the job.
   4 - Exceeds Expectations – exceeds requirements and expectations for the job.
   3 - Meets Expectations – meets the requirements of the job.
   2 - Needs Improvement - marginally meets the requirements and expectations of the job.
   1 - Unsatisfactory – does not meet the requirements and expectations of the job.
# CAO Performance Review Project Schedule

**June 3, 2008**

**NOTE:** Major steps in bold face; meeting dates in blue bold face; completion/status steps in red bold face; vacation dates in italics.

<table>
<thead>
<tr>
<th>Timeframe</th>
<th>Task</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 15-21</td>
<td>Collect and review background info - completed</td>
</tr>
<tr>
<td></td>
<td>- Meet with CAO’s:</td>
</tr>
<tr>
<td></td>
<td>- Review: previous reviews/format/questionnaires, collect info. on</td>
</tr>
<tr>
<td></td>
<td>satisfaction/dissatisfaction with forms/process, anything on</td>
</tr>
<tr>
<td></td>
<td>which CAO’s would like to receive feedback; gather first pass</td>
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<tr>
<td></td>
<td>compensation info.</td>
</tr>
<tr>
<td></td>
<td>- CAO Committee Chair – background questions as needed</td>
</tr>
<tr>
<td>May 19-31</td>
<td>City Manager out</td>
</tr>
<tr>
<td>May 22-27</td>
<td>Develop questionnaire - completed</td>
</tr>
<tr>
<td>By June 2</td>
<td>Consultant reviews salary survey information with Human Resources</td>
</tr>
<tr>
<td></td>
<td>Director – have had meeting to initiate survey; results underway.</td>
</tr>
<tr>
<td>May 22-June 2</td>
<td>City Attorney out</td>
</tr>
<tr>
<td>June 3</td>
<td>CAO’s review draft of his/her own form – completed</td>
</tr>
<tr>
<td>June 9</td>
<td>Council approves review form and process</td>
</tr>
<tr>
<td>June 16-23</td>
<td>City Manager out</td>
</tr>
<tr>
<td>June 10</td>
<td>Self-assessment info. released to CAO’s</td>
</tr>
<tr>
<td>June 14</td>
<td>Interview City Manager</td>
</tr>
<tr>
<td>June 16</td>
<td>CAO self-assessments due to Consultant (CM Due by June 14)</td>
</tr>
<tr>
<td>June 17</td>
<td>Interview City Attorney and City Clerk</td>
</tr>
<tr>
<td>June 18</td>
<td>Review questionnaires + self-assessments sent to Council to complete.</td>
</tr>
<tr>
<td>June 27</td>
<td>Council review questionnaires due to Consultant.</td>
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<tr>
<td>June 28 – July 6</td>
<td>Consultant out</td>
</tr>
<tr>
<td>July 8</td>
<td>Council individual interviews (approx.; 1 hr. each)</td>
</tr>
<tr>
<td>July 9-11</td>
<td>Consolidate feedback from Council and CAO input and develop a written evaluation report.</td>
</tr>
<tr>
<td>July 15 5:15 – 7:00pm</td>
<td>Closed session Council evaluation with Intro (15 min.) + City Manager evaluation (1.5 hrs.) Consultant facilitates discussion.</td>
</tr>
<tr>
<td>July 16 6:00-8:30pm</td>
<td>Closed session Council evaluation with City Attorney and City Clerk (Clerk – 1 hr. and CA - 1.5 hrs.) Consultant facilitates discussion.</td>
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<tr>
<td>July 18</td>
<td>Facilitator draws up specific action statements for upcoming year.</td>
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<tr>
<td>July 18-20</td>
<td>Serve as resource for Council discussion/Council CAO committee</td>
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<tr>
<td></td>
<td>negotiations.</td>
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<tr>
<td>July 21 after mtg: 9-10pm</td>
<td>Council closed session discussion on compensation.</td>
</tr>
<tr>
<td>July 28</td>
<td>Council meeting – adoption of compensation actions on consent</td>
</tr>
<tr>
<td>By July 31</td>
<td>Prepare final record of review and compensation</td>
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</tbody>
</table>
City Clerk Performance Evaluation

Employee: Donna Grider

July 1, 2007 – June 30, 2008

Note: Continue comments on back or attach pages, if needed.

<table>
<thead>
<tr>
<th>Specific Goals/Performance Measures</th>
<th>Exceeds Expectations</th>
<th>Meets Expectations</th>
<th>Needs Improvement</th>
<th>Unsatisfactory</th>
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<tbody>
<tr>
<td>1. 2007-2008 Development Goals (set with Council at last review)</td>
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</table>

(See attached self-assessment)

Comments:

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<tr>
<th>General Performance Measures</th>
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</thead>
<tbody>
<tr>
<td>2. Technical Competence and Professional Development</td>
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</table>

The City Clerk:

- Ensures fair and accurate elections.
- Competently manages City records.
- Teaches other departments how to develop agendas, minutes, resolutions, and ordinances.
- Effectively manages the Boards and Commissions recruitment process.
- Adheres to the Fair Political Practice Commission requirements – e.g., filings, campaign expenditure reports, economic interest reports.
- Stays current on legalities and emerging legal issues.
- Engages in professional development/learning activities to keep abreast of new developments in his/her field and to continue to build skills.

Comments:
3. Council Relationship

The City Clerk:

- Responds to Council requests with accuracy and in a timely manner.
- Understands and acts on Council agreed-upon priorities.
- Demonstrates the appropriate level of leadership/participation during Council meeting.
- Demonstrates the ability to listen to performance feedback and translate that feedback into action.
- Actions encourage mutual honesty, respect and trust.

Comments:

3A. Please list any specific improvement(s) that the City Clerk can make to strengthen his/her relationship with Council.

4. Public Relationship

The City Clerk is:

- Appropriately visible and accessible to the public.
- Willing to listen openly to public requests and feedback.
- Responsive to requests from the public, within the context of his/her charter and the law.
- Perceived as neutral by the public, staff, and the Council while still upholding the law.
- Is a good representative of the City.

Comments:
5. Leadership

**The City Clerk:**
- *Generally exercises sound judgment.*
- *Strikes the right balance of dealing with day-to-day demands vs. attending to long-term strategic interests of the City and/or his/her scope of accountability.*
- *Prevents crises when possible but responds to crises when necessary.*
- *Demonstrates good interpersonal skills.*
- *Can build consensus and negotiate differences when the situation calls for doing so (e.g. in agenda development and records management).*
- *Brings the right balance of creativity and innovation to the job.*
- *Models good leadership with his/her staff members.*

Comments:

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6. Talent Management

**The City Clerk:**
- *Attends to the creation and maintenance of a positive work environment, e.g., through employee recognition, an environment of openness, and regular communication.*
- *Demonstrates the ability to recruit and manage high quality, diverse applicants.*
- *Demonstrates the ability to retain high performers within limits of control (e.g., within the confines of pay scales, job proximity and family/personal factors that can lead to employee turnover).*
- *Engages in personnel issues appropriately, e.g. avoids micromanagement but intervenes when people need help.*
- *Coaches staff members and assures that employees are engaging in professional development.*

Comments:
### 7. Management Operations/ Organizational Effectiveness

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**The City Clerk:**

- Assures the development of clear staff goals and holds staff accountable to those goals.
- Effectively assures competent budget development, execution, and financial controls and monitoring.
- Attends to the long-term financial health of the City.
- Encourages high performance and continuous improvement among staff and in all City operations.

Comments:

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### 8. Overall Strengths (up to 3 top strengths):

Comments:

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### 9. Overall Areas for Development/Improvement:

Comments:
10. **Overall Rating (Circle one)**

<table>
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11. **Suggested City Clerk developmental goals for 2008-2009** – *list these below*

12. **CITY CLERK COMMENTS** *(may continue on back or add pages as needed):*

Signed

*Mayor*

Date

Signed

*Chair, CAO Review Committee*

Date

Signed

*City Clerk*

Date

Signature does not indicate agreement with review comments, but only acknowledges that review discussion of comments and ratings took place on date above.
City Attorney Performance Evaluation

Employee: Gary Baum  
July 1, 2007 – June 30, 2008

Council Member’s Name:

Note: Continue comments on back or attach pages, if needed.

<table>
<thead>
<tr>
<th>Goals/Performance Measures</th>
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*The City Attorney:*

- Does a good job in providing advice to the City Manager, Assistant City Manager, Department Directors and staff on the City’s legal issues.
- Does a good job in researching and analyzing City legal issues independently or with other attorneys in the City Attorney’s office.
- Reviews and manages City lawsuits and claims.
- Analyzes potential City exposure to liability risk.
- In conjunction with Council members, advises them of potential conflicts of interest.
- Collaborates effectively with City Manager and department directors to resolve City legal issues.
- Engages in professional development/learning activities to keep abreast of new developments in his/her field and to continue to build skills.
- Maintains an active network of City Attorneys who act as a resource for the City of Palo Alto.

Comments (continue on back or on next page):
2. Technical Competence and Professional Development (continued)
Comments:

<table>
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3. Council Relationship

The City Attorney:
- Does a good job in researching and responding to Council calls, questions, and inquiries.
- Demonstrates the appropriate level of preparation for Council meetings.
- Demonstrates the appropriate level of leadership/participation during Council meetings, e.g., expressing opinion, offering suggestions, listening/talking when appropriate to do so.
- Understands and acts on Council agreed-upon priorities.
- Demonstrates the ability to listen to performance feedback and translate that feedback into action.
- Demonstrates actions that encourage mutual honesty, respect, and trust.

Comments:

Please list any specific improvement(s) that the City Attorney can make to strengthen his/her relationship with Council.
4. Public Relationship

*The City Attorney:*
- Listens openly to public requests and suggestions.
- Is responsive to requests from the public, within the context of his/her job responsibilities.
- Is a good representative of the City.

Comments:

<table>
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<tr>
<th>4. Public Relationship</th>
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5. Leadership (as a Departmental Director)

*The City Attorney:*
- Generally exercises sound judgment.
- Prevents crises when possible but responds to crises when necessary.
- Demonstrates good interpersonal skills.
- Effectively manages outside Counsel to achieve positive results.
- Works effectively with Departments to collaboratively solve problems.
- Models good leadership with his/her staff and in his/her role as a department director.

Comments:
6. Talent Management

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**The City Attorney:**

- Attends to the creation and maintenance of a positive work environment, e.g., through employee recognition, an environment of openness, and regular communication.
- Demonstrates the ability to recruit and manage high quality, diverse applicants.
- Demonstrates the ability to retain high performers within limits of control (e.g., within the confines of pay scales, job proximity and family/personal factors that can lead to employee turnover).
- Engages in personnel issues appropriately.
- Coaches staff members and assures that employees are engaging in professional development.

Comments:

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7. Management Operations/
Organizational Effectiveness

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**The City Attorney:**

- Competently manages the City’s full service law office.
- Assures the development of clear staff workplans and holds staff accountable to those workplans.
- Effectively assures competent budget development, execution, and financial controls and monitoring.
- Attends to the long-term financial health of the City through efficiency improvements, e.g., managing expenses of outside Counsel.
- Encourages high performance and continuous improvement among staff and in all City operations.

Comments:
8. Overall Strengths (up to 3 top strengths):

Comments:

9. Overall Areas for Development/Improvement

Comments:

10. Overall Rating (Circle one)

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11. Suggested City Attorney developmental goals for 2008-2009 – list these below

Comments:
14. CITY ATTORNEY COMMENTS (may continue on back or add pages as needed):

Signed

Mayor

Date

Signed

Chair, CAO Review Committee

Date

Signed

City Attorney

Date

Signature does not indicate agreement with review comments. Signature acknowledges that review discussion of comments and ratings took place on date above and that employee has received a copy of evaluation comments.
City Manager Performance Evaluation – City of Palo Alto

Time Period: July 1, 2007 – June 30, 2008

Note: Continue comments on back or attach pages, if needed.

Goals

Performance Measures

<table>
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<tr>
<td>Outstanding</td>
<td>Expectations</td>
<td>Expectations</td>
<td>Improve</td>
</tr>
</tbody>
</table>

1. 2007-2008 Goals (set with Council at last review)

(See attached self-assessment)

Comments:

General Performance Measures

2. Technical Competence

The City Manager:

- Demonstrates a command of his field of expertise.
- Engages in professional development/learning activities to keep abreast of new developments in his/her field and to continue to build skills.
- Is credentialed or otherwise has secured professional certificates demonstrating commitment to learning.

Comments:
3. Council Relationship

**The City Manager:**
- Keeps Council members appropriately and equally informed and does so in a timely manner.
- Assures Council has access to information when they need it.
- Understands and acts on Council agreed-upon priorities.
- Demonstrates the appropriate level of leadership/participation during Council meetings, e.g., articulating and making formal presentations, expressing opinion, offering suggestions, listening/talking when appropriate.
- Assures that staff members’ participation in Council meetings demonstrates adequate preparation, clear analysis and appropriate participation.
- Demonstrates the ability to listen to performance feedback and translate that feedback into action.
- Is respectful, yet forthright in interacting with Council.

Comments:

Please list any specific improvement(s) that the City Manager can make to strengthen his/her relationship with Council.

4. Public Relationship

**The City Manager is:**
- Appropriately visible and accessible to the public.
- Willing to listen openly to public requests and feedback.
- Responsive to requests from the public, within the context of Council/Staff policy, priorities, and direction.
- Is respected by public and private sector organizations that interact with the City.

Comments:
5. Leadership

The City Manager:

- Generally exercises sound judgment.
- Strikes the right balance of dealing with day-to-day demands vs. attending to long-term strategic interests of the City and/or his scope of accountability.
- Prevents crises when possible but responds to crises when necessary.
- Demonstrates good interpersonal skills.
- Can build consensus and negotiate differences when the situation calls for doing so.
- Is a good negotiator with unions, developers and other groups.
- Brings the right balance of creativity and innovation to the job.
- Effective in bridging communication, e.g., representing the views of professional Staff to Council as well as the policy direction of Council to Staff.
- Is respected and trusted by staff, who strive to do their best. (to get the best out of staff, need a trusted leader).
- Encourages the City to address difficult issues and challenges.
- Models good leadership.

Comments:

6. Talent Management

The City Manager:

- Attends to the creation and maintenance of a positive work environment, e.g., through employee recognition, an environment of openness, and regular communication.
- Demonstrates the ability to recruit and manage high quality, diverse applicants.
- Demonstrates the ability to retain high performers within limits of control (e.g., within the confines of pay scales, job proximity and family/personal factors that can lead to employee turnover).
- Engages in the right level of desired turnover, e.g., managing underperformers.
- Engages in personnel issues appropriately (e.g., doesn’t micromanage, but also intervenes when the situation demands attention).
- Coaches staff members, assures that employees are engaging in professional development, ensures succession management plans, and promotes learning opportunities for all staff.

Comments:

Talent Management

- Comments continued:
<table>
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<tbody>
<tr>
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*The City Manager:*
- Assures the development of clear staff goals and holds staff accountable to those goals.
- Effectively assures competent budget development, execution, and financial controls and monitoring.
- Attends to the long-term financial health of the City.
- Maintains positive labor relations with labor groups.
- Encourages high performance and continuous improvement among staff and in all City operations.

Comments:

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<table>
<thead>
<tr>
<th>9. Relationships with Key Stakeholders</th>
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*The City Manager:*
- Ensures that management staff is appropriately engaged with Commissions and Advisory Boards.
- Maintains the right level of engagement (balancing time and benefit) with other key stakeholders (e.g., government organizations at the local, regional state and federal level; boards and agencies, school districts, Stanford University, the Chamber of Commerce, friends' groups, and other organizations).
- Does a good job in representing the City of Palo Alto's interests with key stakeholders (e.g., government organizations at the local, regional state and federal level; boards and agencies, school districts, Stanford University, the Chamber of Commerce, friends' groups, and other organizations).
- Is a good negotiator with key stakeholders.

Comments:

10. Overall Strengths (up to 3 top strengths):

Comments:

11. Overall Areas for Development/Improvement (listed in order of priority – no more than 3):

Comments:

12. Overall Rating (Circle one)

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13. CITY MANAGER COMMENTS (may continue on back or add pages as needed):
Signed ___________________________________________ ____________________

Mayor ____________________________ Date

Signed ___________________________________________ ____________________

Chair, CAO Review Committee ____________________________ Date

Signed ___________________________________________ ____________________

City Manager ____________________________ Date

Signature does not indicate agreement with review comments, but only acknowledges that review discussion of comments and ratings took place on date above.