

MEETING NOTICE FOR THE CITY OF HUBBARD

TUESDAY

OCTOBER 13, 2020

.....
CITY COUNCIL: ROSTOCIL, AUDRITSH, PRINSLOW, DODGE, THOMAS
.....

The Hubbard City Council will meet for its regular council meeting. Due to distancing requirements, the Workshop portion of the meeting will be for members of the City Council and Staff only. Members of the public may attend **via conference call or electronic device**. This is to enable interested citizens to listen to the meeting. All public comment is suspended during this meeting due to platform restrictions. **Should you wish to speak at the meeting, you may sign up by completing the form on the City's webpage or calling City Hall 48 hours prior to the meeting.** (Comments may be limited at the Mayor's and/or Council President's discretion.)

<https://www.cityofhubbard.org/bc/webform/sign-if-you-want-speak-meeting>)

Join Zoom Meeting

<https://us02web.zoom.us/j/84290723963?pwd=WDYzQzJDeHplT0dFUTZLbSswM08wUT09>

Meeting ID: 842 9072 3963

Passcode: 327179

One tap mobile

+13462487799,,84290723963#,,,,,0#,,327179# US (Houston)

+14086380968,,84290723963#,,,,,0#,,327179# US (San Jose)

Dial by your location

+1 346 248 7799 US (Houston)

+1 408 638 0968 US (San Jose)

+1 669 900 6833 US (San Jose)

+1 253 215 8782 US (Tacoma)

+1 312 626 6799 US (Chicago)

+1 646 876 9923 US (New York)

+1 301 715 8592 US (Germantown)

Meeting ID: 842 9072 3963

Passcode: 327179

Find your local number: <https://us02web.zoom.us/j/84290723963?pwd=WDYzQzJDeHplT0dFUTZLbSswM08wUT09>

*****ACCESSABILITY NOTICE*****

Please contact the Director of Administration/City Recorder prior to the scheduled meeting if you need assistance accessing this electronic meeting at the following: vnogle@cityofhubbard.org; Phone No. 503.981.9633; or Hubbard City Hall, 3720 2nd St., Hubbard OR 97032. TTY users please call Oregon Telecommunications Relay Service at 1-800-735-2900.

Agendas are posted at City Hall and on the City website at www.cityofhubbard.org. You may schedule Agenda items by contacting the Director of Administration/City Recorder Vickie Nogle at 503-981-9633. (TTY / Voice 1-800-735-2900)

SEE ATTACHED AGENDA

Posted 10/8/2020, 4:00 p.m.

Vickie L. Nogle, MMC

Director of Administration/City Recorder

HUBBARD CITY COUNCIL MEETING AGENDA

CITY HALL: (503)981-9633

OCTOBER 13, 2020 – 7:00 PM

LOCATION: Council and Staff - HUBBARD FIRE HALL (3161 2ND STREET)

**(MEMBERS OF THE PUBLIC MAY CALL OR LOG IN WITH AN ELECTRONIC DEVICE -
Refer to Cover Sheet for details)**

MEETING Notice: Due to distancing requirements, the City Council and Staff will meet in person only with distancing requirements in place. Members of the public may attend via conference call or electronic device. This is to enable interested citizens to listen to the meeting. All public comment is suspended during this meeting due to platform restrictions. **Should you wish to speak at the meeting, you may sign up by completing the form on the City's webpage or calling City Hall 48 hours prior to the meeting.** (Comments may be limited at the Mayor and/or Council President's discretion.)

<https://www.cityofhubbard.org/bc/webform/sign-if-you-want-speak-meeting>

1) CALL TO ORDER.

- A) Flag Salute.
- B) Roll call.

2) DISCUSSION REGARDING WATER PROJECT – Public Works.

3) DISCUSSION REGARDING PERSONNEL EVALUATION PROCESS.

4) MAYOR'S AND/OR COUNCIL'S PRESENTATIONS.

5) STAFF REPORTS.

- A) **Hubbard Fire District – Fire Chief Joseph Budge.**
- B) **Police Department–Sergeant Chris Anderson.**
- C) **Administrative Department–Director of Admin/Recorder Vickie Nogle.**
- D) **Finance-Finance Director Judy Smith.**
- E) **Public Works Department–Public Works Superintendent Mike Krebs.**

6) CONSENT AGENDA.

(Matters listed within the Consent Agenda have been distributed to each member of the Hubbard City Council for reading and study, are considered to be routine, and will be enacted by one motion of the Council with no separate discussion. If separate discussion is desired, that item may be removed from the Consent Agenda at the beginning of the meeting and placed on the Regular Agenda by request.)

A) Approval of Minutes.

- 1. **September 15, 2020, City Council.**
- 2. **September 24, 2020, Special City Council.**

B) Approval of the September 2020 Check Register Report.

C) Resolution No. 702-2020. A Resolution amending Resolutions 655-2018, 655-2019, 682-2019, 688-2020, Police Personnel Policies and Procedures for the City of Hubbard. (Refer to the Police Chief's report)

7) DISCUSSION REGARDING PROPERTY TAX EXEMPTION – Hubbard City Attorney Ashley Driscoll.

- 8) **DISCUSSION AND UPDATE REGARDING COVID-19 POLICY – Hubbard City Attorney Ashley Driscoll.**
- A) Resolution No. 703-2020. A Resolution adopting a Novel Coronavirus/Covid-19 Emergency Leave Temporary Policy and repealing the prior Temporary City Policy: Response to Covid-19 signed March 17, 2020.
- 9) **APPEARANCE OF INTERESTED CITIZENS.**
(Should you wish to speak at the meeting, you may sign up by completing the form on the City's webpage or calling City Hall 48 hours prior to the meeting. Comments may be limited at the Mayor's discretion.)
<https://www.cityofhubbard.org/bc/webform/sign-if-you-want-speak-meeting>)
- 10) **DISCUSS PERMANENT ELECTION DROP BOX AT CITY HALL – Director of Administration/Recorder Vickie Nogle.**
- 11) **OTHER CITY BUSINESS.**
- 12) **COUNCIL RECESS OPEN PUBLIC MEETING AND CONVENE CLOSED EXECUTIVE SESSION TO REVIEW AND EVALUATE EMPLOYMENT-RELATED PERFORMANCE OF EMPLOYEES UNDER ORS 192.660(2)(i). PURSUANT TO ORS 192.660(4) COUNCIL SPECIFICALLY REQUEST THAT MEMBERS OF THE MEDIA AND OTHER ATTENDEES NOT DISCLOSE MATTERS DISCUSSED IN THE EXECUTIVE SESSION.**
- 13) **COUNCIL CLOSE EXECUTIVE (CLOSED) SESSION AND RECONVENE PUBLIC (OPEN) MEETING.**
- 14) **ADJOURNMENT.** (Next regular scheduled City Council Meeting November 10, 2020, at 7:00 p.m.)

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City of Hubbard - Water System - Rehabilitation and Upgrade Projects

Water Pressure Booster Pump Upgrades

Pressure Boosting Distribution and Fire Flow Pumps	Per the Waster Master Plan, the current pumping and reservoir systems are inadequate to provide for fire flow. The new pumps will increase the peak flowrate to distribution for adequate fire flow as well as pressurizing the distribution system once the 50,000 gallon elevated storage tank is taken offline. We recommend using 3 new ~500 gpm pumps (including the emergency pump) with the same pump for distribution pressurization. Two ~3,500 gpm pumps should also be installed to supplement the distribution pumps for fire flows with redundancy. We further recommend installation of a generator set capable to run the WTP and all 5 new pumps.	\$ 270,000.00
200 KW Generator Set and Switch Gear	This generator set will provide for full power backup of all systems at the WTP in the event of a power outage.	\$ 134,800.00
Variable Frequency Drives and Panels for the New Distribution Pumps	In order to both allow for soft starting and to pressurize the distribution system during periods of low demand, it is highly recommended that the new pump motors be ran utilizing variable frequency drive systems.	\$ 32,000.00
Piping Work for the New Distribution Pumps	It is expected that there will need to be some degree of pipefitting involved to integrate the new pumping system to the existing manifolds.	\$ 38,000.00
Misc. Concrete Work	New concrete pads and mounting hardware for the new pumps will need to be put in place.	\$ 42,500.00
Misc. Electrical Work	It is expected that there will need to be new conduit run to the pump motors, VFDs, generator set, and control systems.	\$ 60,000.00
		Contingency 20% \$ 115,460.00
		Administration 5% \$ 28,865.00
		Water System Model Update \$ 20,000.00
		Engineering 20% \$ 115,460.00
Water Pressure Booster Pumping Upgrade - Total Costs:		\$ 857,085.00

Well #1 Rehabilitation/Replacement Project

Refurbish Well #1 and install new Pumping System***	Well #1 is both sucking air and affected by what was described as a collapsed screen. It may be possible to rehablitate the well and replace the pumping system. It is suggested that a well constructor be consulted for a more accurate cost estimate to determine whether fixing Well #1 is possible or, if going with a new well is more cost effective.	\$ 220,000.00
Abandon Well#1 and build a new well adjacent to Well #1	This project would abandon Well #1 and build a new well nearby. It is suggested that a well constructor be consulted for a more accurate cost estimate to determine whether fixing Well #1 is possible, or going with a new well is more cost effective.	\$ 380,000.00
***This is included as an option, but not included in the cost estimate.		Contingency 20% \$ 76,000.00
		Administration 5% \$ 19,000.00
		Engineering 20% \$ 76,000.00
Well #1 Rehabilitation/Replacement Project - Total Costs:		\$ 551,000.00

SCADA Projects

Wonderware System upgrade to Rockwell Factory Talk	This project will upgrade the existing SCADA system and PCs	\$ 156,000.00
		Contingency 10% \$ 15,600.00
		Administration 5% \$ 7,800.00
		Engineering 5% \$ 7,800.00
SCADA Upgrade Projects - Total Costs:		\$ 187,200.00

3rd Greensand Filter and Media Replacement

Adds a 3rd Greensand filter	The WTP will need to bring on a 3rd greensand filter to keep up with the projected demands in 2040.	\$ 155,000.00
Replacement of media in two filters and new media in the new filter	The media in the existing filters needs to be replaced, and new media will need to be purcased for the new filter.	\$ 90,000.00
		Contingency 20% \$ 49,000.00
		Administration 5% \$ 12,250.00
		Engineering 20% \$ 49,000.00
3rd Greensand Filter and Media Replacement - Total Costs:		\$ 355,250.00

Watermain Replacement Projects

Replaces failing watermain	Due to the increased pressures incurred when the new booster pumps come online, it is expected that the City may experience a slight increase in main line breakage. This represents an annual cost roughly double the amount the City should already be putting aside for annual waterline replacements. It is expected that this cost should be budgeted for a period of 5 years after the installation of the booster system for a total cost of roughly \$480,000 over 5 years with 3% cost increase per year.	\$ 90,000.00
		Contingency 20% \$ 18,000.00
		Administration 5% \$ 4,500.00
		Engineering 25% \$ 22,500.00
Year One Watermain Replacement Projects - Total Costs:		\$ 135,000.00

TOTAL CONSTRUCTION COST:	\$ 1,448,300.00
TOTAL CONTINGENCY:	\$ 274,060.00
TOTAL ADMIN COST:	\$ 72,415.00
TOTAL ENGINEERING COST:	\$ 290,760.00
ALL WTP REHAB/UPGRADES, TOTAL COST:	\$ 2,085,535.00



Self-Assessment

If this form is part of an annual performance review, discuss the form with your manager and then select and answer those questions that most apply to you. Note that this form also includes some preparation questions to consider for the next year.

Employee's Name:
Title:
Manager:
Date:

Job Definition

1. Attach a current position description; if applicable, make note of any significant changes since last year's performance review.
2. Which position responsibilities do you view as most important? Why?
3. Have there been any special circumstances that have helped or hindered you in doing your position this year? If yes, what were the circumstances and how did they affect your work?

Accomplishments

1. List your most significant accomplishments or contributions during the past year. How do these achievements align with the goals/objectives outlined in your last review?
2. Since the last review conversation, have you performed any new tasks or additional duties outside the scope of your regular responsibilities? If so, please specify.
3. Describe professional development activities that have been helpful since last year (e.g., offsite seminars/classes, onsite training, peer training, on-the-job experience, better exposure to challenging projects).

Goal Setting

1. What are your goals for the coming year and what actions will you take to accomplish these goals?
2. What could your supervisor/manager do to support you in doing your job and accomplishing these goals?



3. What else would help you to do your job better and provide greater job satisfaction?

Development Planning

1. What kinds of professional development activities would you like to do during the coming year?
2. What support or information do you need to complete these activities?



Employee Performance Review

Employee name and title		Evaluation for the period:	
Supervisor name and title		Department:	

Goals And Objectives During This Evaluation Period

Achievements, Accomplishments, And Responsibilities *(Completed By Employee)*

Evaluation *(Completed By Supervisor)*

Strengths And Areas For Development



Suggested Career Progression Plan

Goals And Objectives For Next Evaluation Period

- 1.
- 2.
- 3.

Employee Signature

Supervisor Signature

Signature		Signature	
Employee Name		Supervisor Name	
Date	[End date]	Date	[End date]

YOUR LOGO
HERE

Company Name

Employee Performance Review

Employee Information

Employee Name	Employee ID
Job Title	Date
Department	Manager
Review period	

Ratings

	1 = Poor	2 = Fair	3 = Satisfactory	4 = Good	5 = Excellent
Job Knowledge	<input type="checkbox"/>				
<i>Comments</i>					
Work Quality	<input type="checkbox"/>				
<i>Comments</i>					
Attendance/Punctuality	<input type="checkbox"/>				
<i>Comments</i>					
Productivity	<input type="checkbox"/>				
<i>Comments</i>					
Communication/Listening Skills	<input type="checkbox"/>				
<i>Comments</i>					
Dependability	<input type="checkbox"/>				
<i>Comments</i>					
Overall Rating <i>(average the rating numbers above)</i>					

YOUR LOGO
HERE

Company Name

Evaluation

Additional Comments	
Employee Goals	

Verification of Review

By signing this form, you confirm that you have discussed this review in detail with your supervisor. Signing this form does not necessarily indicate that you agree with this evaluation.

Employee Signature		Date	
Manager Signature		Date	

Performance Appraisal Plan Examples

Simple, Easy Guidance
and
Sample Format

- Checklist for Performance Plans
 - Sample Employee Plan
 - Sample Supervisory Plan
-

Checklist for Performance Plans

This document is provided to assist managers/supervisors and non-supervisory employees in understanding the components of the USDA Performance Management Process.

A brief summary of the areas that need to be incorporated to performance plans follows:

Strategic Alignment

- At least one element has this addressed and incorporated?

Performance Elements

- Between **3 and 7 elements**?
- At least 1 critical element is linked to the Agency's mission, goals and outcomes?
- At least 1 critical element is results-focused?

- Employee spends a **SIGNIFICANT PORTION OF TIME** doing this action – it is a significant job component?
- Employee has **PRIMARY CONTROL** over the outcome?
- Employee has **FULL AUTHORITY** to perform this?
- Element is **DISTINGUISHABLE** from other performance elements?

FOR SUPERVISORS:

- A performance element for supervision is incorporated?
- A performance element for EEO/CR is incorporated?
- Performance requirements include performance accountability?

Performance Standards (Measures)

- Each standard includes
 - qualitative measures,
 - quantitative measures,
 - timeliness measures,
 - cost effectiveness measures,
 - or manner or performance measures?
- Appear reasonable and provide appropriate distinctions between levels?

FOR EMPLOYEES

- Include measurable standards for EEO/CR?
- Include measurable standards for Health and Safety if warranted?
- Include measurable standards for Personally Identifiable Information if warranted?

FOR SUPERVISORS

- Include measurable standards for employee perspective?
- Include measurable standards for customer perspective?
- Include measurable standards for Health and Safety, if warranted?
- Include measurable standards for Personally Identifiable Information, if warranted?

**Employee
Example**

(12-86) **PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET**

1. NAME (Last, First, M.I.) Public, John Q		2. POSITION TITLE Human Resources Specialist	
3. AGENCY/DIVISION DA, OHCM, DHRD		4. PAY PLAN, SERIES, GRADE GS-201-12	
		APPRAISAL PERIOD	
		5. START DATE 10-01-08	6. END DATE 09-30-09
7. PERFORMANCE ELEMENT			
No.	1	Mission Results	<input checked="" type="checkbox"/> CRITICAL <input type="checkbox"/> NONCRITICAL

Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable Agency guidelines, including timeframes.

Alignment: This Element contributes to the achievement of the Strategic Human Capital Goals identified in the *USDA Strategic Human Capital Plan December 2006*, and the human capital strategies associated with the DA Goal as Identified in the *DA Strategic Plan 2005 – 2008*. The DA Goal is as follows - *Provides USDA leadership with the administrative tools, services, infrastructure, and policy frameworks to support their public service missions*

. [Note – alignment item must be on at least one element!]

8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)

Evaluation will be by the supervisor through (1) observation, (2) review of work product results, and (3) discussions with employee, co-workers, customers and superiors. The supervisor is satisfied that the employee:

- Handles multiple tasks simultaneously, prioritizing and completing assignments within established deadlines with not more than 3-5 exceptions. Tracks assigned projects, correspondence, etc., from initiation to completion and addresses each within the timeframes prescribed by the supervisor.
- Works to continually evaluate and improve assigned programs from a programmatic and cost-effective perspective. Achieves or demonstrates progress in improving program and work practices, including minimizing the complexity of processes whenever possible.
- Provides timely and reliable technical advice and assistance to internal and external customers on {specify} matters with not more than 3-4 exceptions. Advice is based on good knowledge and proper application of Federal regulations, precedent cases, and relationships among interested parties. (Note – this standard could also be within a Customer Service element.)
- Continuously keeps supervisor informed regarding sensitive issues or controversial emerging issues and offers well thought-out recommendations to prevent and/or respond to developing problems with no more than 1-3 exceptions.
- Safeguards and protects the personally identifiable information of all employees' contractors, or the general public from unauthorized disclosure with no more than 1-2 exceptions.

9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)	Exceeds	Fully Successful	Does Not Meet
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET

1. NAME (Last, First, M.I.) Public, John Q.		2. POSITION TITLE Human Resources Specialist					
3. AGENCY/DIVISION DA, OHCM, DHRD		4. PAY PLAN, SERIES, GRADE GS-201-12	<table border="1"> <tr> <th colspan="2">APPRAISAL PERIOD</th> </tr> <tr> <td>5. START DATE 10-01-08</td> <td>6. END DATE 09-30-09</td> </tr> </table>	APPRAISAL PERIOD		5. START DATE 10-01-08	6. END DATE 09-30-09
APPRAISAL PERIOD							
5. START DATE 10-01-08	6. END DATE 09-30-09						

7. PERFORMANCE ELEMENT			
No.	2	Customer Service	<input checked="" type="checkbox"/> CRITICAL <input type="checkbox"/> NONCRITICAL

Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes effective working relationships with all stakeholders both internal and external to USDA as required. These relationships are critical to promoting Human Capital program's and supporting accomplishment of USDA and OHCM strategic goals. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes actions to effectively solve problems before they have an adverse impact on the organization or other employees.

8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)

Evaluation will be by the supervisor through (1) observation, (2) review of work product results, and (3) discussions with employee, co-workers, customers and superiors. The supervisor is satisfied that the employee:

- Models appropriate behavior by presenting advice and guidance in a positive and helpful manner, including appropriate options, recommendations, and results, with no more than 6-8 valid complaints. Advice and guidance is complete, timely, and consistent with appropriate guidelines 80% of the time.
- Routinely responds to each customer request with the most accurate and complete information available. If information to a telephone call cannot be provided immediately, answers are usually provided within 2 work days of receipt of the call. Email responses are usually answered within 2 work days.
- Feedback from customers indicates they are generally satisfied with answers to questions, proposed solutions and suggestions, or recommendations are understandable.

9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)	Exceeds	Fully Successful	Does Not Meet
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET

1. NAME (Last, First, M.I.) Public, John Q.		2. POSITION TITLE Human Resources Specialist	
3. AGENCY/DIVISION DA, OHCM, DHRD		4. PAY PLAN, SERIES, GRADE GS-201-12	
		APPRAISAL PERIOD	
		5. START DATE 10-01-08	6. END DATE 09-30-09

7. PERFORMANCE ELEMENT			
No.	3	Individual Contributions to the Team and EEO/Civil Rights	<input checked="" type="checkbox"/> CRITICAL <input type="checkbox"/> NONCRITICAL

Ordinarily displays dependability and reliability. Promotes open communication. Contributes creative ideas and actively participates in team meetings resulting in added value to the team's products and services. When problems arise, explores causes and assists in resolving them. Works with team members to appropriately implement decisions. Is usually open-minded to new ideas and approaches in implementing the team's goals. Willingly accepts and acts on constructive criticism.

8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)

Evaluation will be by the supervisor through (1) observation, (2) review of work product results, and (3) discussions with employee, co-workers, customers and superiors. The supervisor is satisfied that the employee:

- Regularly cooperates with coworkers and others in meeting commitments and accomplishing assigned work on time; e.g., sharing information freely.
- Fosters productive and cooperative working relationships by showing understanding, courtesy, tact, and politeness to others with no more than 6-8 valid complaints.
- Attends and participates in joint staff meetings with no more than 2 exceptions.
- Responds constructively to feedback, seeking ways to improve. Consistently raises concerns in a constructive manner and offers potential solutions.
- Models appropriate behavior by treat customers, colleagues, employees, and other internal and external stakeholders with respect, courtesy, politeness and sensitivity with no more than 6-8 valid complaints.
- Consistently treats coworkers with respect, fairness, and politeness including socially disadvantaged, females and persons with disabilities. Relates well to people from various backgrounds and situations.
- Brings discriminatory issues or actions to the attention of the supervisor or other appropriate official as soon as possible but no later than 48 hours after the occurrence.
- Completes annual EEO/CR training, as required, within established time frames.

9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)	Exceeds	Fully Successful	Does Not Meet
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)

11. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN (Signatures certify discussion with the employee and receipt of plan which reflects current position description.)

Employee's Signature	Date
Supervisor's Name <i>(Print)</i>	Supervisor's Signature
Reviewer's Name <i>(Print)</i>	Reviewer's Signature
	Date

12. PROGRESS REVIEWS (at least one must be completed)

Employee's Initials and Date				Supervisor's Initials and Date			
:	:	:	:	:	:	:	:

Check appropriate copy designation below.

ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY EMPLOYEE COPY SUPERVISOR'S COPY AGENCY USE

Supervisory Example

(12-86) **PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET**

1. NAME (Last, First, M.I.) Citizen, Jane Q		2. POSITION TITLE Supervisory Human Resources Specialist					
3. AGENCY/DIVISION DA, OHCM, DHRD		4. PAY PLAN, SERIES, GRADE GS-201-15	<table border="1"> <tr> <th colspan="2">APPRAISAL PERIOD</th> </tr> <tr> <td>5. START DATE 10-01-08</td> <td>6. END DATE 09-30-09</td> </tr> </table>	APPRAISAL PERIOD		5. START DATE 10-01-08	6. END DATE 09-30-09
APPRAISAL PERIOD							
5. START DATE 10-01-08	6. END DATE 09-30-09						
7. PERFORMANCE ELEMENT							
No.	1	Supervision	<input checked="" type="checkbox"/> CRITICAL <input type="checkbox"/> NONCRITICAL				

Supervises ## employees (Identify number of employees supervised). Work is assigned in a fair and effective manner. Technical guidance to subordinate staff is given in a timely manner. Performance management is implemented in accordance with procedures. Issues, concerns, or problems are handled promptly and fairly. To the extent possible, staff is properly trained and complies with occupational health and safety programs. Management decisions are supported and implemented within appropriate timeframes. Has an employee performance plan that focus on results achieved, contain at least one element that is aligned with organizational goals, and are in place within 30 calendar days of the beginning of the appraisal period. Mid year reviews are conducted timely and according to Agency guidelines. Ratings are accurate and issued within 30 calendar days of the end of the appraisal period.

8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)

Evaluation will be by the supervisor through (1) observation, (2) review of work product results, and (3) discussions with employee, direct reports, co-workers, customers and superiors. The supervisor is satisfied that the employee:

- Prioritizes work of staff to deal with workload shifts and to ensure mission-critical work is accomplished with 95% accuracy.
- Schedules staff meetings at least monthly and after major program conferences or meetings or more frequently if required by management.
- Ensures that all employees are assessed and training needs are identified, communicated to employees, and planned on an annual basis. Ensures that all employees receive required training within established guidelines.
- Ensures issues and problems are identified, documented, and dealt with in a timely manner (immediately for minor issues, usually within one week for others, or within Agency established timeframes as applicable) 90% of the time.
- Ensures fair treatment of staff by dealing with issues such as absenteeism, tardiness, and other chronic problems within one week of identification of problem.
- Prepares required reports that are accurate, according to stated requirements, and within established timeframes 97% of the time.
- Ensures all personnel responsibilities (recruitment, staffing, promotion, training, evaluation and discipline) are conducted fairly, meet established procedures, and within established timeframes 90% of the time.

9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)	Exceeds	Fully Successful	Does Not Meet
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(Supervision) Continued

- Routinely models appropriate leadership and professional behavior by treating others with respect, directing and motivating staff, maintaining confidentiality, etc.
 - **[Employee Perspective]** Feedback from staff indicates that they understand the agency's direction, the goals and their role in achieving these goals; understand what is expected of them; were involved in developing their performance plans; understand how well they are performing and where they need to improve; have performance plans that accurately reflect their performance measures; have the necessary tools and resources to accomplish their work; where they do not have what they need, they understand why; have the skills and knowledge they need to do their jobs, or a plan to obtain them; are acknowledged and appreciated for good performance.
 - **[Employee Perspective]** Analyzed feedback received from employees from the Federal Human Capital Survey (FHCS)/the Annual Employee Survey (AES) or other feedback mechanisms (focus groups/ 1-on 1 discussions) and develops action plans to improve future survey results/employee satisfaction.
 - **[Customer Perspective]** Feedback from customers indicate satisfaction with the quality of service delivered, including that the service was provided in a collaborative manner and met the customers' needs; and the quantity and quality of information delivered, including that the information provided increased the customers' understanding of the agency's programs.
 - **[Safety and Health]** Adheres to Safety and Occupational Health practices and procedures in order to promote and maintain a safe and healthful work environment for all employees. Upon report of unsafe/unhealthful condition, notifies appropriate office within 48 hours, and follows up and/or takes appropriate action until condition is resolved.
 - **[EEO/CR]** Ensures that employees receive required Civil Rights, EEO, and Sexual Harassment training within established timeframes. Provides Civil Rights/EEO/Sexual Harassment/Diversity information (USDA material) to employees through information sessions, staff meetings, etc. at least 2 times a year.
 - **[EEO/CR]** Responds to issues/actions/allegations according to Agency procedures and within established timeframes with no more than 3 approved exceptions.
 - **[EEO/CR]** Takes action to reduce the number of valid employee complaints by actions such as increasing information provided for interpersonal skills training to employees, etc. at least 2 times annually.
 - **[EEO/CR]** Provides pro-active assistance to employees to help with problem solving and resolving conflicts. Results based on employee feedback or surveys, random oral surveys from second level supervisor, providing employee skills training in related topics.
 - **[EEO/CR]** Meets USDA established Civil Rights/EEO goals for recruitment, selection, promotion, training, awards, and other personnel activities.
1. **[Performance Management]** Develop performance plans for all supervised employees that include a critical element with standards that identify clear and measurable (quality, quantity, cost, and/or timely) tasks and results that are aligned to organizational goals for each individual by the required deadline.
 2. **[Performance Management]** Conducts all requirements of the performance management cycle including encouraging two-way discussion of planning, reviews, evaluation, and career development, setting goals and conducting reviews and evaluations within established timeframes, encouraging and implementing on-going feedback throughout the year, 99% of the time.

(12-86) **PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET**

1. NAME (Last, First, M.I.) Citizen, Jane Q		2. POSITION TITLE Supervisory Human Resources Specialist	
3. AGENCY/DIVISION DA, OHCM, DHRD	4. PAY PLAN, SERIES, GRADE GS-201-15	APPRAISAL PERIOD	
		5. START DATE 10-01-08	6. END DATE 09-30-09
7. PERFORMANCE ELEMENT			
No.	2	Mission Results	<input checked="" type="checkbox"/> CRITICAL <input type="checkbox"/> NONCRITICAL

Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable Agency guidelines, including timeframes.

Alignment: This Element contributes to the achievement of the Strategic Human Capital Goals identified in the *USDA Strategic Human Capital Plan December 2006*, and the human capital strategies associated with the DA Goal as Identified in the *DA Strategic Plan 2005 – 2008*. The DA Goal is as follows - *Provides USDA leadership with the administrative tools, services, infrastructure, and policy frameworks to support their public service missions*

[Note – alignment item must be on at least one element!]

8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)

Evaluation will be by the supervisor through (1) observation, (2) review of work product results, and (3) discussions with employee, direct reports, co-workers, customers and superiors. The supervisor is satisfied that the employee:

- Handles multiple tasks simultaneously, prioritizing and completing assignments within established deadlines with not more than 3-5 exceptions. Tracks assigned projects, correspondence, etc., from initiation to completion and addresses each within the timeframes prescribed by the supervisor.
- Works to continually evaluate and improve assigned programs from a programmatic and cost-effective perspective. Achieves or demonstrates progress in improving program and work practices, including minimizing the complexity of processes whenever possible.
- Provides timely and reliable technical advice and assistance to internal and external customers on {specify} matters with not more than 3-4 exceptions. Advice is based on good knowledge and proper application of Federal regulations, precedent cases, and relationships among interested parties. (Note – this standard could also be within a Customer Service element.)
- Continuously keeps supervisor informed regarding sensitive issues or controversial emerging issues and offers well thought-out recommendations to prevent and/or respond to developing problems with no more than 1-3 exceptions.
- Safeguards and protects the personally identifiable information of all employees' contractors, or the general public from unauthorized disclosure with no more than 1-2 exceptions.

9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)	Exceeds	Fully Successful	Does Not Meet
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(12-86) **PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET**

1. NAME (Last, First, M.I.) Citizen, Jane Q.		2. POSITION TITLE Supervisory Human Resources Specialist	
3. AGENCY/DIVISION DA, OHCM, DHRD		4. PAY PLAN, SERIES, GRADE GS-201-15	
		APPRAISAL PERIOD	
		5. START DATE 10-01-08	6. END DATE 09-30-09
7. PERFORMANCE ELEMENT			
No.	3	Next Element	<input checked="" type="checkbox"/> CRITICAL <input type="checkbox"/> NONCRITICAL

XXXXXXXX

8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)

Evaluation will be by the supervisor through (1) observation, (2) review of work product results, and (3) discussions with employee, direct reports, co-workers, customers and superiors. The supervisor is satisfied that the employee:

- 1. XXXXX
- 2. XXXXX
- 3. XXXXX
- 4. XXXXX

9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)	Exceeds	Fully Successful	Does Not Meet
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)

11. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN (Signatures certify discussion with the employee and receipt of plan which reflects current position description.)

Employee's Signature	Date
Supervisor's Name (<i>Print</i>)	Supervisor's Signature
Reviewer's Name (<i>Print</i>)	Reviewer's Signature
	Date

12. PROGRESS REVIEWS (at least one must be completed)

Employee's Initials and Date				Supervisor's Initials and Date			
:	:	:	:	:	:	:	:

Check appropriate copy designation below.

ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY EMPLOYEE COPY SUPERVISOR'S COPY AGENCY USE



Peer Review Questionnaire

Please answer the questions thoroughly and truthfully. Your responses will be compiled along with those provided by other employees. The individual who is being reviewed will not be told which co-workers were asked to complete questionnaires. Thank you for your participation.

Peer Review for:

Date:

Ratings Definition

Use the following scale, thinking specifically of the person whose name appears above.

1 = Never 2 = Occasionally 3 = Sometimes 4 = Most of the Time 5 = Always NE = No Experience

Circle the number that most accurately describes your perception for each item. Please note that "NE" means you have no firsthand knowledge or experience with the individual.

1.	Behaves in a manner consistent with the company's mission, vision and values	1	2	3	4	5	NE
2.	Is viewed as a person of integrity by co-workers	1	2	3	4	5	NE
3.	Has an attitude of helpfulness toward co-workers	1	2	3	4	5	NE
4.	Complies with company policies and procedures	1	2	3	4	5	NE
5.	Is professional and courteous when communicating with coworkers	1	2	3	4	5	NE
6.	Represents the company in a positive manner when interacting with customers	1	2	3	4	5	NE
7.	Is interested in continuing to develop new skills and to grow as a professional	1	2	3	4	5	NE
8.	Follows through with tasks and responsibilities in an appropriate and timely manner	1	2	3	4	5	NE
9.	Demonstrates respect for the work and ideas of others	1	2	3	4	5	NE
10.	Is considerate of the needs of others	1	2	3	4	5	NE
11.	Is willing to accept responsibility for his or her own actions	1	2	3	4	5	NE
12.	Is someone that you feel would make an effective supervisor	1	2	3	4	5	NE
13.	Is someone you feel comfortable approaching to ask for assistance or advice	1	2	3	4	5	NE
14.	Stays focused on helping internal and external customers	1	2	3	4	5	NE
15.	Demonstrates a willingness to listen to what others have to say	1	2	3	4	5	NE



Numerical Scale Performance Review Form

Employee:		Employee Title:	
Supervisor:		Performance Period:	

A. Current Goals and Responsibilities

1. Describe the current performance period's goals; if applicable, make note of any significant changes to the position description since last year's performance review.

B. Performance Assessment (attach additional supporting information as need)

1. Ask the employee to complete a performance Self-Assessment, based on the Current Goals and Responsibilities (see above).
2. Provide your responses to the Performance Competencies (Section C below) to inform your assessment.
3. Evaluate and discuss the employee's job performance and development achievement. Base your evaluation upon the position requirements, achievement of the goals established during the past year and your assessment of the employee's accomplishments.
4. Are there areas of exceptional performance that should be particularly noted? Provide specific examples.
5. Are there areas of performance needing more attention or improvement? Provide specific examples.
6. In what way is the employee ready for increased responsibility? What additional training will he/she need to be successful?



C. Performance Competencies

Depending on position, some competencies may be more relevant than others.

		5 Exceptional	4 Highly Effective	3 Proficient	2 Inconsistent	1 Unsatisfactory	N/A New/Not Applicable
5 Exceptional:	Performance is consistently superior and significantly exceeds position requirements.						
4 Highly Effective:	Performance frequently exceeds position requirements.						
3 Proficient:	Performance consistently meets position requirements.						
2 Inconsistent:	Performance meets some, but not all position requirements.						
1 Unsatisfactory:	Performance consistently fails to meet minimum position requirements; employee lacks skills required or fails to utilize necessary skills.						
N/A New or Not Applicable:	Employee has not been in position long enough to have demonstrated the essential elements of the position and will be reviewed at a later agreed upon date.						
1.	Skill and proficiency in carrying out assignments <i>Brief explanation:</i>	<input type="checkbox"/>					
2.	Possesses skills and knowledge to perform the job competently <i>Brief explanation:</i>	<input type="checkbox"/>					
3.	Skill at planning, organizing and prioritizing workload <i>Brief explanation:</i>	<input type="checkbox"/>					
4.	Holds self accountable for assigned responsibilities; sees tasks through to completion in a timely manner <i>Brief explanation:</i>	<input type="checkbox"/>					
5.	Proficiency at improving work methods and procedures as a means toward greater efficiency <i>Brief explanation:</i>	<input type="checkbox"/>					
6.	Communicates effectively with supervisor, peers, and customers <i>Brief explanation:</i>	<input type="checkbox"/>					
7.	Ability to work independently <i>Brief explanation:</i>	<input type="checkbox"/>					
8.	Ability to work cooperatively with supervision or as part of a team <i>Brief explanation:</i>	<input type="checkbox"/>					
9.	Willingness to take on additional responsibilities <i>Brief explanation:</i>	<input type="checkbox"/>					
10.	Reliability (attendance, punctuality, meeting deadlines) <i>Brief explanation:</i>	<input type="checkbox"/>					
11.	Adeptness at analyzing facts, problem solving, decision-making, and demonstrating good judgment <i>Brief explanation:</i>	<input type="checkbox"/>					
Additional performance competencies for employees with supervisory responsibilities							
12.	Displays fairness towards all subordinates. <i>Brief explanation:</i>	<input type="checkbox"/>					
13.	Identifies performance expectations, gives timely feedback and conducts formal performance appraisals. <i>Brief explanation:</i>	<input type="checkbox"/>					
14.	Helps employees to see the potential for developing their skills; assists them in eliminating barriers to their development. <i>Brief explanation:</i>	<input type="checkbox"/>					
15.	Delegates responsibility where appropriate, based on the employee's ability and potential. <i>Brief explanation:</i>	<input type="checkbox"/>					
16.	Takes timely and appropriate corrective/disciplinary action with employees. <i>Brief explanation:</i>	<input type="checkbox"/>					
17.	Takes specific steps to create and develop their diverse workforce and to promote an inclusive environment. <i>Brief explanation:</i>	<input type="checkbox"/>					



D. Goal Setting and Development Planning

1. List the employee's performance goals for the coming year:
2. How do these align with departmental goals?
3. List the employee's development goals for the coming year:
4. In the coming year, how will you provide guidance and assistance for the employee to accomplish his/her goals?

E. Employee Comments (Optional)

The employee may comment on the performance review in the space provided below.

Please sign below to acknowledge that the employee has received this document.

Employee's Signature:	Date:
Supervisor's Signature:	Date:

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Supervisors and Managers, GS-15 and Below



PERFORMANCE APPRAISAL

PART 1: EMPLOYEE INFORMATION

Employee Name:	Employee ID:	
Position Title, Series, Grade: Secretary, GS-0318-07	Service Unit (SU):	Supervisor Name:

PART 2: APPRAISAL/REVIEW TYPE

Note:
Six Month Qualifying Period Performance and Conduct Review In accordance with LCR 2010-11, Personnel Appointments, Assignments, Qualifying /Probationary Periods, and Terminations, all new hires who are currently in a qualifying period must receive a review in writing on Form 108, Six Month Qualifying Period Performance and Conduct Evaluation. This review should be recorded in EmpowHR as an "Initial" review. Upon conversion to a non-conditional appointment, this Performance Appraisal Form must be used to complete annual performance appraisals (Official) and close-out/partial performance appraisals (Interim.)

Mid-year Progress Review Checklist In accordance with LCR 2017-2, Performance Appraisal Plan for Non-Bargaining Unit Staff, Non-Managerial/Non-Supervisory Staff, GS-15 and Below and LCR 2017-2.2, Performance Appraisal Plan for Managerial/Supervisory Staff, GS-15 and Below, all employees in non-conditional appointments must receive a mid-year review in writing on Form 1748 for the first six months of the performance appraisal period. This review should be recorded in EmpowHR as an "Interim" review.

Performance Appraisal (complete for the twelve month performance appraisal period)

Close-Out/Partial Performance Appraisal (complete for partial appraisal periods-for example, change of supervisor, change in position/duties, detail assignments)

Rating Period: From: 09/01/2009 Through: 08/31/2010 <i>(mm/dd/yyyy) (mm/dd/yyyy)</i>	Last Written Progress Review Date: 09/14/2008 Last Written Performance Appraisal Date: 09/14/2008
---	--

PART 3: OVERALL RATING

(Indicate the overall adjectival rating from Part 5)

Overall Rating Scale:
(Mark one)

Outstanding^{*} **Commendable** **Successful** **Minimally Successful**[†] **Unsatisfactory**[†]

^{*} Outstanding rating must be reviewed and/or approved by the SU Head prior to discussing with the employee.
[†] Minimally Successful and Unsatisfactory rating documentation must be reviewed by Human Resources Services/Office of Workforce Management/Employee Relations prior to next level review.

Performance Rating Scale

Each Major Area of Responsibility (MAR) should be evaluated and ratings must be supported by a narrative justification. Distinct levels of performance are generally defined as follows:

Outstanding: A level of exceptional, high-quality performance. The individual has performed so well that organizational goals were achieved that would not otherwise have been attained. The employee's mastery of professional/technical skills and thorough understanding of how his/her performance contributes to progress toward achieving the mission and goals of the Service Unit's objectives, led to enhanced organizational performance. An Outstanding rating may be assigned only when all aspects of performance not only substantially exceed Successful requirements, but are exceptional and deserve the highest level of special recognition. The employee is eligible to receive high-performance acknowledgement and awards.

Commendable: A level of high performance. The individual has exceeded Successful level requirements and expectations in MAR and shown sustained support for achieving key work unit, SU, and Library goals. Many aspects of his/her work were carried out at an Outstanding level of performance. The employee's performance and initiative are worthy of special notice.

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Supervisors and Managers, GS-15 and Below**

PERFORMANCE APPRAISAL FORM

Successful: A level of good, sound performance. The employee completed all assigned MAR activities and met all requirements and expectations. He/She contributed positively to organizational goals and effectively applied professional/technical skills and organizational knowledge to get the job done. A Successful rating is assigned when performance falls within a band of performance ranging from just below Commendable to just above Minimally Successful. Performance at the top half of this level indicates that the employee is making consistent valuable contributions toward achieving SU and Library goals. Performance at the bottom half of this level indicates that the employee has not consistently demonstrated required skills and results in all MAR, but has responded positively to feedback and made observable improvements during a significant portion of the appraisal period. The employee is working at an acceptable level of competence and is eligible for a within-grade increase.

Minimally Successful: A level of performance that is minimally acceptable. It is not however at an acceptable level of competence for the purposes of granting a within-grade increase. Performance shows significant deficiencies that require correction. The employee's work has been marginal in one or more MAR, jeopardizing attainment of key unit goals. The employee has made some improvements, but does not always respond positively to feedback on performance.

Unsatisfactory: A level of unacceptable performance. The employee clearly and consistently fails to meet performance requirements and/or produce expected results. Work products have not met the minimum requirements of the MAR. Deficiencies such as little or no contribution to meeting organization goals, failure to meet work objectives, failure to meet customer needs, and inattention to organizational priorities and administrative requirements are examples of work characteristics and/or performance that could lead to an Unsatisfactory rating. An Overall Rating of Unsatisfactory may lead to demotion or removal from the Library.

PART 4: NARRATIVE SUMMARY

Review a list of accomplishments* provided by the employee for each major area of responsibility listed in the *Performance Plan*. Write a brief conversational narrative that describes the level of performance observed throughout the appraisal period, including accomplishments, outcomes, suggestions for achieving higher rating if Successful or below. Assign a rating for each major area of responsibility.

* Recommended: Ask your staff to use the form *Writing Individual Performance Accomplishments* which is on the WPM web page under *General*.

Major Area of Responsibility: Office Activities Coordination

Weight (%): 35

Rating: Commendable

Narrative: From an administrative standpoint you have handled your full plate well. You handle receipt and prompt distribution of phone, email, walk-in, and written requests and messages. You are the office timekeeper, monitoring time and attendance records for our staff on a weekly basis. In addition, you oversee the use of the Government Purchase Card and manage the scheduling of our conference room. There have never been any complaints about any of these duties. You remain on top of deadlines and when you have all of the necessary information, travel plans are completed at least a week in advance. Beyond this, you do all of our purchases, contracts, travel, and other actions requiring mastery of the Momentum financial management system. Each of these administrative duties is important to keep the day-to-day operations of the office running smoothly, and you skillfully weave them into your broader and more complex schedule and task sets. You have become the jack of all trades in our office which is a great accomplishment.

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PERFORMANCE APPRAISAL FORM

Major Area of Responsibility: Office Automation

Weight (%): 35

Rating: Successful

Narrative: Our office is involved with many projects and you have successfully demonstrated the ability to support these in a fast-paced environment. I have received several compliments from Library staff regarding the assistance you provided with the Correspondence Control Mercury (CCM) system backlog. Your work with ITS and ability to get up to speed with Microsoft Outlook have helped our office's transition go smoothly. You demonstrated that you knew our unit priorities and important projects in setting up a new shared Outlook calendar for the office. While your support is helpful and thorough, many staff members still struggle with software issues after seeking your help. While you are very technically competent, you could improve your explanations to staff so that they do not have to keep coming back for help. During this next performance appraisal period, it would be helpful if you could follow up with staff more frequently on issues that they are experiencing.

Major Area of Responsibility: Correspondence Review and Management

Weight (%): 30

Rating: Commendable

Narrative: Your assistance in managing the correspondence management system (CCM) is critical to our operations. You consistently meet established deadlines for important Library correspondence and while we were behind on overall correspondence at your mid-year review, you have put in the extra effort to get it back on track. All of the materials you deal with are coordinated correctly and you use great judgment to route incoming materials that do not have an obvious destination. Your review of written materials has caught several errors which I am very grateful for. I would like to see you continue to work on your writing and editing skills because I foresee our workload in this area increasing next year.

Major Area of Responsibility:

Weight (%):

Rating:

Narrative:

Major Area of Responsibility:

Weight (%):

Rating:

Narrative:

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PERFORMANCE APPRAISAL FORM

PART 5: OVERALL RATING CALCULATION

Calculation of Overall Summary Rating:

- If MAR are assigned equal weights add points and divide by the number of MAR to get the Overall Numerical Rating.
- If MAR are assigned varied weights multiply points by the designated percent to get the weighted rating and add weighted ratings to get the Overall Numerical Rating.
- The Overall Adjectival Rating is determined by using the rating ranges provided below.

Rating Symbol/Points: (Use assigned whole numbers only) **Outstanding (O) = 5 pts.;** **Commendable (C) = 4 pts.;** **Successful (S) = 3 pts.;** **Minimally Successful (MS) = 2 pts.;** **Unsatisfactory (U) = 0 pts.**

<u>Major Areas of Responsibility</u>	<u>Rating Symbols</u>	<u>Rating Points</u>	x	<u>MAR Weights %</u>	=	<u>MAR Weighted Ratings</u> (if applicable)
1. Office Activities Coordination	C	4	x	40%	=	1.6
2. Office Automation	S	3	x	30%	=	.9
3. Correspondence Review and Management	C	4	x	30%	=	1.2
4.			x		=	
5.			x		=	
Totals (round to two places after the decimal) Example: 2.503=2.50; 3.495=3.50			x		=	3.7

Overall Numerical Rating = 3.7

(Place the Overall Numerical Rating in the appropriate range below to determine the Overall Summary Rating)

Outstanding 4.70 or higher
 Commendable 3.70 to 4.69
 Successful 2.70 to 3.69
 Minimally Successful 2.00 to 2.69
 Unsatisfactory less than 2.0

Overall Adjectival Rating = Commendable

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Supervisors and Managers, GS-15 and Below**

PERFORMANCE APPRAISAL FORM

PART 6: WITHIN-GRADE INCREASE CERTIFICATION

(Complete based on past year performance just prior to the employee's within-grade increase date)

Within-Grade Increase Not Due

Within-Grade Increase Due and employee IS performing at an acceptable level of competence

Within-Grade Increase Due and employee IS NOT performing at an acceptable level of competence

Notice of Intent to Deny Within-Grade Increase was reviewed for compliance with all applicable regulations and agreements by HRS/Office of Workforce Management/Employee Relations Team. Yes No

PART 7: HIGH PERFORMANCE RECOGNITION

Outstanding Performance Rating Recommendation

The performance of the employee has been Outstanding for the following reasons *(Cite specific examples)*:

I Concur with Recommendation

Service Unit Head or Designee Signature:

Date:

Quality Step Increase Recommendation

(If approved, you must complete Form 109, Recommendation for Additional With-in Grade Increase for High Quality Performance and forward to HRS.)

The employee has been performing the MAR of his/her position at an Outstanding level for the reasons stated below/attached and this level of performance has been sustained to the extent that it may be considered characteristic of his/her performance. I certify that, on the basis of past experience that his/her performance is likely to continue at this level. *(Cite examples of performance that consistently exceeds Successful and Commendable levels.)*

I Concur with Recommendation

Service Unit Head or Designee Signature:

Date:

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PERFORMANCE APPRAISAL FORM

PART 8: TRAINING & DEVELOPMENT PLAN

Describe training needed to successfully perform duties in the current position. List seminars or professional group sessions the employee should attend to stay current in the job. List courses the employee will have the opportunity to attend, budget permitting, to learn best practices. The supervisor and employee may also indicate "See *Individual Development Plan* (Form 173)."

(See Individual Development Plan)

PART 9: EMPLOYEE COMMENTS (OPTIONAL)

(Use a separate sheet of paper as needed.)

PART 10: SIGNATURES

Signatures indicate that the *Performance Appraisal* has been discussed. The supervisor should allow 5 business days after the appraisal discussion for the employee to review and add comments, if desired, to the appraisal document. After 5 business days, the supervisor will finalize the appraisal (with or without the employee's signature.) The supervisor will attach the *Performance Plan* to the final *Performance Appraisal* and forward the original documents to HRS in LM-645 to be made part of the Employee Performance Folder. The supervisor will give a copy of the final appraisal to the employee and the supervisor will maintain a copy.

Employee Signature:	Date:
Supervisor Signature:	Date:
Service Unit Head or Designee Signature (if applicable): <i>(Indicates review and concurrence with overall rating, justification, and recommendations)</i>	Date:

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

A Handbook for Measuring Employee Performance





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foreword

This handbook is designed for Federal supervisors and employees and presents an eight-step process for developing employee performance plans that are aligned with and support organizational goals. It also provides guidelines for writing performance elements and standards that not only meet regulatory requirements, but also maximize the capability that performance plans have for focusing employee efforts on achieving organizational and group goals.

The methods presented here are designed to develop elements and standards that measure employee and work unit accomplishments rather than to develop other measures that are often used in appraising performance, such as measuring behaviors or competencies. Although this handbook includes a discussion of the importance of balancing measures, the main focus presented here is to measure accomplishments. Consequently, much of the information presented in the first five steps of this eight-step process applies when supervisors and employees want to measure results. However, the material presented in Steps 6 through 8 about developing standards, monitoring performance, and checking the performance plan apply to all measurement approaches.

foreword

The handbook has four chapters and three appendices:

- | **CHAPTER 1** gives the background and context of performance management that you will need to understand before beginning the eight-step process.
- | **CHAPTER 2** defines **accomplishments**, which is key to using this handbook successfully.
- | **CHAPTER 3** includes a detailed description of the **eight-step process** for developing employee performance plans that are aligned with and support organizational goals.
- | **CHAPTER 4** provides **study tools**, including a followup **quiz** and a **quick reference** for the eight-step process.
- | **THE APPENDICES** contain **example standards** that were written specifically for **appraisal programs** that appraise performance on elements at five, three, and two levels.

After reading the instructional material, studying the examples, and completing the exercises in this book, you should be able to:

- | **DEVELOP** a performance plan that aligns individual performance with organizational goals
- | **USE** a variety of methods to determine work unit and individual accomplishments
- | **DETERMINE** the difference between activities and accomplishments
- | **EXPLAIN** regulatory requirements for employee performance plans

chapter 1

chapter 1

PERFORMANCE MANAGEMENT: BACKGROUND AND CONTEXT

Remember the story about the naive student in his first English literature course who was worried because he didn't know what prose was? When he found out that prose was ordinary speech, he exclaimed, "Wow! I've been speaking prose all my life!"

Managing performance well is like speaking prose. Many managers have been "speaking" and practicing effective performance management naturally all their supervisory lives, but don't know it!

Some people mistakenly assume that performance management is concerned only with following regulatory requirements to appraise and rate performance. Actually, assigning ratings of record is only **one part** of the overall process (and perhaps the least important part).

Performance management is the systematic process of:

- | **planning** work and setting expectations
- | continually **monitoring** performance
- | **developing** the capacity to perform
- | periodically **rating** performance in a summary fashion
- | **rewarding** good performance

The revisions made in 1995 to the governmentwide performance appraisal and awards regulations support "natural" performance management. Great care was taken to ensure that the requirements those regulations establish would complement and not conflict with the kinds of activities and actions effective managers are practicing as a matter of course.

PLANNING In an effective organization, work is planned out in advance. Planning means setting performance expectations and goals for groups and individuals to channel their efforts toward achieving organizational objectives. Getting employees involved in the planning process will help them understand the goals of the organization, what needs to be done, why it needs to be done, and how well it should be done.

The regulatory requirements for planning employees' performance include establishing the elements and standards of their performance appraisal plans. Performance elements and standards should be measurable, understandable, verifiable, equitable, and achievable. Through critical elements, employees are held accountable as individuals for work assignments or responsibilities. Employee performance plans should be flexible so that they can be adjusted for changing program objectives and work requirements. When used effectively, these plans can be beneficial working documents that are discussed often, and not merely paper work that is filed in a drawer and seen only when ratings of record are required.

MONITORING In an effective organization, assignments and projects are monitored continually. Monitoring well means consistently measuring performance and providing ongoing feedback to employees and work groups on their progress toward reaching their goals.

The regulatory requirements for monitoring performance include conducting progress reviews with employees where their performance is compared against their elements and standards. Ongoing monitoring provides the supervisor the opportunity to check how well employees are meeting predetermined standards and to make changes to unrealistic or problematic standards. By monitoring continually, supervisors can identify unacceptable performance at any time during the appraisal period and provide assistance to address such performance rather than wait until the end of the period when summary rating levels are assigned.

PERFORMANCE MANAGEMENT'S FIVE KEY COMPONENTS



DEVELOPING In an effective organization, employee developmental needs are evaluated and addressed. Developing in this instance means increasing the capacity to perform through training, giving assignments that introduce new skills or higher levels of responsibility, improving work processes, or other methods. Providing employees with training and developmental opportunities encourages good performance, strengthens job-related skills and competencies, and helps employees keep up with changes in the workplace, such as the introduction of new technology .

Carrying out the processes of performance management provides an excellent opportunity for supervisors and employees to identify developmental needs. While planning and monitoring work, deficiencies in performance become evident and should be addressed. Areas for improving good performance also stand out, and action can be taken to help successful employees improve even further.

RATING From time to time, organizations find it useful to summarize employee performance. This helps with comparing performance over time or across a set of employees. Organizations need to know who their best performers are.

Within the context of formal performance appraisal requirements, rating means evaluating employee or group performance against the elements and standards in an employee's performance plan and assigning a summary rating of record. The rating of record is assigned according to procedures included in the organization's appraisal program. It is based on work performed during an entire appraisal period. The rating of record has a bearing on various other personnel actions, such as granting within-grade pay increases and determining additional retention service credit in a reduction in force.

REWARDING In an effective organization, rewards are used often and well. Rewarding means recognizing employees, individually and as members of groups, for their performance and acknowledging their contributions to the agency's mission. A basic principle of effective management is that all behavior is controlled by its consequences. Those consequences can and should be both formal and informal and both positive and negative.

Good managers don't wait for their organization to solicit nominations for formal awards before recognizing good performance. Recognition is an ongoing, natural part of day-to-day experience. A lot of the actions that reward good performance, like saying "thank you," don't require a specific regulatory authority. Nonetheless, awards regulations provide a broad range of forms that more formal rewards can take, such as cash, time off, and many recognition items. The regulations also cover a variety of contributions that can be rewarded, from suggestions to group accomplishments.

PERFORMANCE MANAGEMENT AS PROSE

Good managers have been speaking and practicing effective performance management all their lives, executing each key component process well. They not only set goals and plan work routinely, but they also measure progress toward those goals and give feedback to employees. They set high standards, but they also take care to develop the skills needed to reach them. They also use formal and informal rewards to recognize the behavior and results that accomplish their mission. All five components working together and supporting each other achieve natural, effective performance management.

Employee Performance Plans

Employees must know what they need to do to perform their jobs successfully. Expectations for employee performance are established in employee performance plans. Employee performance plans are all of the written, or otherwise recorded, performance elements that set forth expected performance. A plan must include all critical and non-critical elements and their performance standards.

Performance elements tell employees **what** they have to do and standards tell them **how well** they have to do it. Developing elements and standards that are understandable, measurable, attainable, fair, and challenging is vital to the effectiveness of the performance appraisal process and is what this handbook is all about.

Federal regulations define three types of elements: critical elements, non-critical elements, and additional performance elements. Agency appraisal programs are required to use critical elements (although the agency may choose to call them something else), but the other two types can be used at the agency's option. Before continuing further with this handbook, you should contact your human resources office to determine the types of elements your appraisal program allows.

A NOTE ABOUT PERFORMANCE PLANS

This handbook is about developing employee performance plans. However, there is another type of performance plan that you need to be aware of. The Government Performance and Results Act of 1993 requires each agency to prepare an annual performance plan covering each program activity set forth in its budget. These organizational performance plans:

- | *establish program-level performance goals that are objective, quantifiable, and measurable*
- | *describe the operational resources needed to meet those goals*
- | *establish performance indicators to be used in measuring the outcomes of each program*

We will be using organizational performance plans during Step 1 of the eight-step process presented in this handbook. Organizational performance plans are key in the process of aligning employee performance with organizational goals.

A NOTE ABOUT GROUP OR TEAM PERFORMANCE

The term “group or team performance” can be confusing sometimes. When we say that critical elements cannot describe group performance, we are saying that the group’s performance as a whole cannot be used as a critical element. This does not preclude describing an individual’s contribution to the group as a critical element. The key to distinguishing between group performance and an individual’s contribution to the group is that group performance is measured at an aggregate level, not for a single employee. An individual’s contribution to the group is measured at the individual employee level.

CRITICAL ELEMENTS A critical element is an assignment or responsibility of such importance that unacceptable performance in that element would result in a determination that the employee’s overall performance is unacceptable. Regulations require that each employee have at least one critical element in his or her performance plan. Even though no maximum number is placed on the number of critical elements possible, most experts in the field of performance management agree that between three and seven critical elements are appropriate for most work situations.

Critical elements are the cornerstone of individual accountability in employee performance management. Unacceptable performance is defined in Section 4301(3) of title 5, United States Code, as failure on one or more critical elements, which can result in the employee’s reassignment, removal, or reduction in grade. Consequently, critical elements must describe work assignments and responsibilities that are within the employee’s control. For most employees this means that critical elements **cannot** describe a group’s performance. However, a supervisor or manager can and should be held accountable for seeing that results measured at the group or team level are achieved. Critical elements assessing group performance may be appropriate to include in the performance plan of a supervisor, manager, or team leader who can reasonably be expected to command the production and resources necessary to achieve the results (i.e., be held individually accountable).

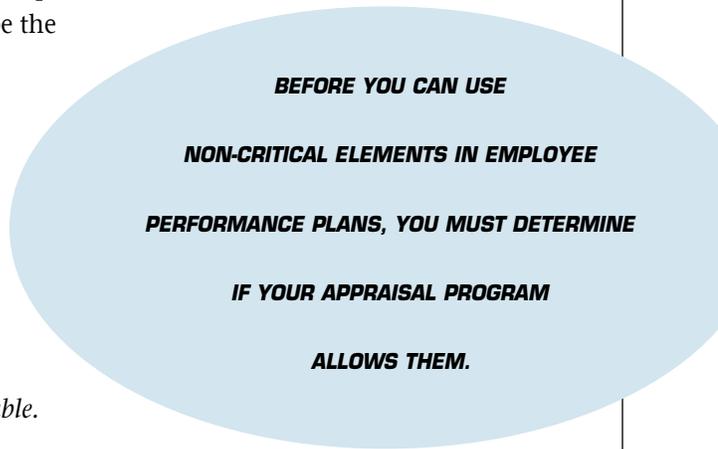
NON-CRITICAL ELEMENTS A non-critical element is a dimension or aspect of individual, team, or organizational performance, exclusive of a critical element, that is used in assigning a summary level. Important aspects of non-critical elements include:

NO PERFORMANCE-BASED ACTIONS Failure on a non-critical element **cannot** be used as the basis for a performance-based adverse action, such as a demotion or removal. Only critical elements may be used that way. Moreover, if an employee fails on a non-critical element, the employee's performance cannot be summarized as *Unacceptable* overall based on that failure.

GROUP PERFORMANCE Non-critical elements are the only way an agency can include the group's or the team's performance as an element in the performance plan so that it counts in the summary level. For example, team structured organizations might use a non-critical element to plan, track, and appraise the team on achieving its goals. To do this, each team member's performance plan would include the "team" element (i.e., a non-critical element) and the rating for the team on that element would be counted in the summary level of each team member.

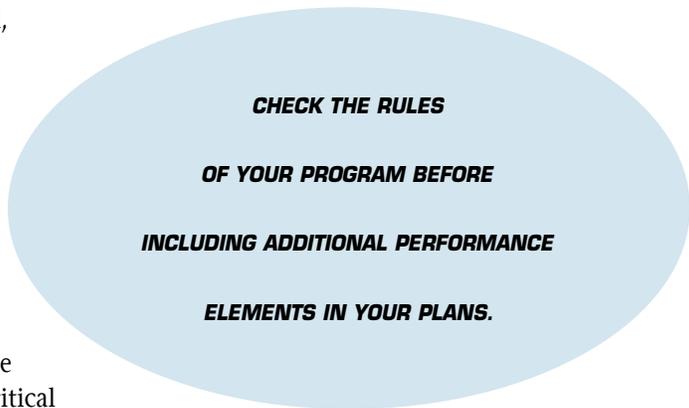
WHEN THEY CAN'T BE USED Non-critical elements cannot be used in appraisal programs that use only two levels to summarize performance in the rating of record. This is because they would have no effect on the summary rating level and, by definition, they must affect the summary level. (That is, in a two-level program, failure on non-critical elements cannot bring the summary level down to *Unacceptable*, and assessments of non-critical elements cannot raise the summary level to *Fully Successful* if a critical element is failed.)

CAN GREATLY AFFECT THE SUMMARY LEVEL Sometimes the word "non-critical" is interpreted to mean "not as important." Prior to 1995, this interpretation was prescribed by regulation. Now, however, depending on how an appraisal program is designed, this need not be the case. Even though consideration of non-critical elements cannot result in assigning an *Unacceptable* summary level, appraisal programs can be designed so that non-critical elements have as much weight or more weight than critical elements in determining summary levels above *Unacceptable*.



ADDITIONAL PERFORMANCE ELEMENTS

An additional performance element is a dimension or aspect of individual, team, or organizational performance that is not a critical element and is not used in assigning a summary rating level. The essential difference between a non-critical element and an additional performance element is that non-critical elements **do** affect the summary level. Otherwise, the features and limitations of non-critical elements discussed above also apply to additional performance elements. Opportunities for using additional performance elements include:



| NEW WORK ASSIGNMENT Managers and employees may want to establish goals, track and measure performance, and develop skills for an aspect of work that they do not believe should count in the summary level. For example, if an employee volunteered to work on a new project that requires new skills, an additional performance element describing the new assignment provides a non-threatening vehicle for planning, measuring, and giving feedback on the employee’s performance without counting it in the summary level.

| GROUP PERFORMANCE In a two-level appraisal program, additional performance elements are the only way to include a discussion of group performance in the appraisal process. Even though the element assessment does not count when determining the summary level, managers and employees could use it to manage the group’s performance.

| AWARDS Additional performance elements can be used to establish criteria for determining awards eligibility, especially in a two-level program that no longer bases awards solely on a summary level.

ELEMENT CHARACTERISTICS

	<i>REQUIRED IN EMPLOYEE PERFORMANCE PLANS</i>	<i>CREDITED IN THE SUMMARY LEVEL</i>	<i>CAN DESCRIBE A GROUP'S PERFORMANCE</i>
<i>CRITICAL ELEMENTS</i>	<i>YES</i>	<i>YES</i>	<i>NO*</i>
<i>NON-CRITICAL ELEMENTS</i>	<i>NO</i>	<i>YES</i>	<i>YES</i>
<i>ADDITIONAL PERFORMANCE ELEMENTS</i>	<i>NO</i>	<i>NO</i>	<i>YES</i>

**Except when written for a supervisor or manager who has individual management control over a group's production and resources.*

Additional performance elements were introduced in the September 1995 performance appraisal regulations and have not been used widely yet. We foresee their popularity rising as agencies discover the possibilities they present for managing performance.

KNOW YOUR PROGRAM FEATURES

Again, it is important to stress that before you continue with this handbook, you need to find out the rules established by your appraisal program; specifically, you will need to know:

- | which kinds of elements your program allows you to use
- | at how many levels your program appraises employee performance on elements
- | how many summary levels your program uses
- | if your program allows weighting of elements (see Step 4)
- | whether the program requires specific elements and/or uses generic standards

example program features

This handbook uses an example agency called the "Federal Benefits Bureau," (FBB) which is an agency that specializes in benefits and retirement services. To be able to understand and work through the examples, you need to know the features of FBB's appraisal program (i.e., the same features listed above).

FBB's appraisal program:

- | uses critical, non-critical, and additional performance elements
- | appraises employee performance on elements at five levels:
 - Unacceptable*
 - Minimally Successful*
 - Fully Successful*
 - Exceeds Fully Successful*
 - Outstanding*
- | uses five summary levels, which are the same as the elements' five levels listed above
- | allows elements to be weighted according to importance to the organization
- | requires **no** specific or generic elements

chapter 2

DISTINGUISHING ACTIVITIES FROM ACCOMPLISHMENTS

CHAPTER 2 DISCUSSES WHAT MAY BE THE MOST IMPORTANT CONCEPT IN THIS HANDBOOK: THE DIFFERENCE BETWEEN MEASURING ACTIVITIES AND MEASURING ACCOMPLISHMENTS. THE FOLLOWING STORY ILLUSTRATES THIS CONCEPT.

The Beekeepers and Their Bees

Once upon a time, there were two beekeepers who each had a beehive. The beekeepers worked for a company called Bees, Inc. The company's customers loved its honey and wanted the business to produce more honey than it had the previous year. As a result, each beekeeper was told to produce more honey at the same quality. With different ideas about how to do this, the beekeepers designed different approaches to improve the performance of their hives.

The first beekeeper established a bee performance management approach that measured how many flowers each bee visited. At considerable cost to the beekeeper, an extensive measurement system was created to count the flowers each bee visited. The beekeeper provided feedback to each bee at midseason on his individual performance, but the bees were never told about the hive's goal to produce more honey so that Bees, Inc., could increase honey sales. The beekeeper created special awards for the bees who visited the most flowers.

The second beekeeper also established a bee performance management approach, but this approach communicated to each bee the goal of the hive—to produce more honey. This beekeeper and his bees measured two aspects of their performance: the amount of nectar each bee brought back to the hive and the amount of honey the hive produced. The performance of each bee and the hive's overall performance were charted and posted on the hive's bulletin board for all bees to see. The beekeeper created a few awards for the bees that gathered the most nectar, but he also established a hive incentive program that rewarded each bee in the hive based on the hive's production of honey—the more honey produced the more recognition each bee would receive.

chapter 2

At the end of the season, the beekeepers evaluated their approaches. The first beekeeper found that his hive had indeed increased the number of flowers visited, but the amount of honey produced by the hive had dropped. The Queen Bee reported that because the bees were so busy trying to visit as many flowers as possible, they limited the amount of nectar they would carry so they could fly faster. Also, because the bees felt they were competing against each other for awards (because only the top performers were recognized), they would not share valuable information with each other (like the location of the flower-filled fields they'd spotted on the way back to the hive) that could have helped improve the performance of all the bees. (After all was said and done, one of the high-performing bees told the beekeeper that if he'd been told that the real goal was to make more honey rather than to visit more flowers, he would have done his work completely differently.) As the beekeeper handed out the awards to individual bees, unhappy buzzing was heard in the background.

The second beekeeper, however, had very different results. Because each bee in his hive was focused on the hive's goal of producing more honey, the bees had concentrated their efforts on gathering more nectar to produce more honey than ever before. The bees worked together to determine the highest nectar-yielding flowers and to create quicker processes for depositing the nectar they'd gathered. They also worked together to help increase the amount of nectar gathered by the poor performers. The Queen Bee of this hive reported that the poor performers either improved their performance or transferred to another hive. Because the hive had reached its goal, the beekeeper awarded each bee his portion of the hive incentive payment. The beekeeper was also surprised to hear a loud, happy buzz and a jubilant flapping of wings as he rewarded the individual high-performing bees with special recognition.

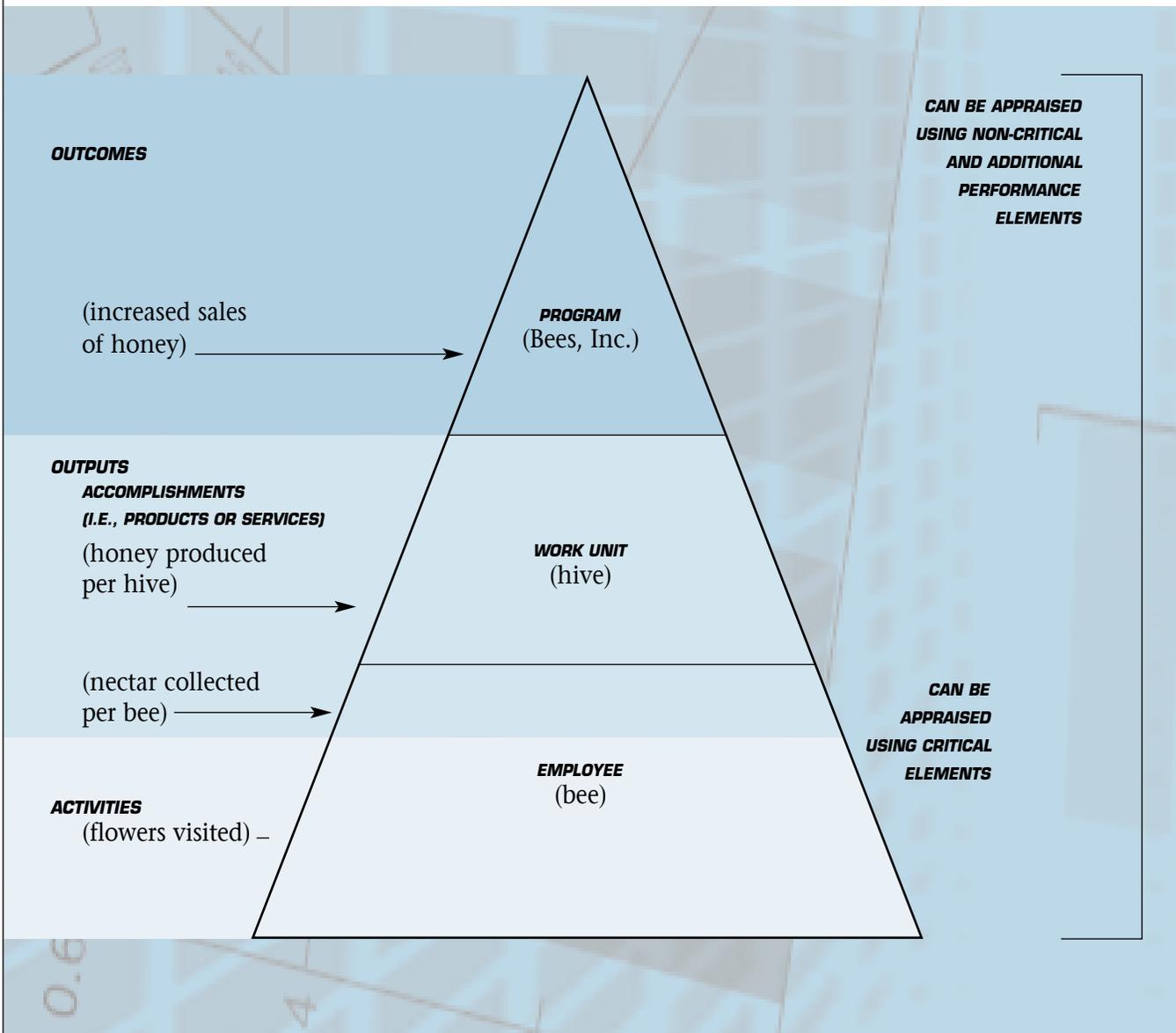
THE MORAL OF THIS STORY IS: MEASURING AND RECOGNIZING ACCOMPLISHMENTS RATHER THAN ACTIVITIES—AND GIVING FEEDBACK TO THE WORKER BEES—OFTEN IMPROVES THE RESULTS OF THE HIVE.

Although it somewhat oversimplifies performance management, the beekeepers’ story illustrates the importance of measuring and recognizing accomplishments (the amount of honey production per hive) rather than activities (visiting flowers). This handbook is designed to help you develop elements and standards that center around accomplishments, not activities.

The chart below depicts the type of measurement that should occur at each organizational level of Bees, Inc., and includes measurements used by the beekeepers.

PERFORMANCE PYRAMID

Note that outputs occur at two levels—the work unit and the employee level.



Activities are the actions taken to produce results and are generally described using verbs. In the beekeeper story, the *activity* being measured was *visiting* flowers. Other examples of activities include:

- | *filing* documents
- | *developing* software programs
- | *answering* customer questions
- | *writing* reports

Accomplishments (or outputs) are the products or services (the results) of employee and work unit activities and are generally described using nouns. The examples of *outputs* used in the story include the amount of *nectar* each bee collected and the *honey* production for the hive. Other examples include:

- | *files* that are orderly and complete
- | a software *program* that works
- | accurate *guidance* to customers
- | a *report* that is complete and accurate

Outcomes are the final results of an agency's products and services (and other outside factors that may affect performance). The example of an outcome used in the beekeeper story was increased sales of honey for Bees, Inc. Other examples of outcomes could include:

- | reduced number of transportation-related deaths
- | improved fish hatcheries
- | a decrease in the rate of teenage alcoholism
- | clean air

A NOTE ABOUT FEDERAL EFFORTS TO MEASURE OUTCOMES AND OUTPUTS

Because of the requirements set by the Government Performance and Results Act of 1993 (i.e., the Results Act), Federal agencies are measuring their organizational outcomes and outputs. The Results Act requires agencies to have strategic plans, which include outcome-related goals and objectives for the major functions and operations of the agency. Those outcome goals must be objective, quantifiable, and measurable. The Results Act also requires agencies to develop annual performance plans that cover each one of their programs. Performance plans must include performance goals, which define the annual, often incremental, progress in achieving the outcome goals in the strategic plan. Performance goals are often output-oriented because they address single-year performance. We will talk more about strategic plans with their outcome goals, and performance plans with their output goals, in Chapter 3.

On the performance pyramid illustrated on page 14, notice that accomplishments can be measured at two levels in the organization—the employee level and the work unit level. Employee accomplishments can be included in employee performance plans using all three types of performance elements. Work unit accomplishments also can be included in the appraisal process—through non-critical elements if the agency desires to have work unit performance affect ratings (and only if the appraisal program uses more than two summary levels) or through additional performance elements if work unit performance is not to affect ratings. However they are used in performance appraisal, work unit as well as employee accomplishments can always be recognized through an awards program.

If supervisors, team leaders, and employees want to develop performance plans that support the achievement of organizational outcomes, they might try the second beekeeper’s approach of sharing organizational goals with the hive, measuring and rewarding accomplishments rather than activities, and providing feedback on performance.

Using Balanced Measures

THIS HANDBOOK FOCUSES ON MEASURING ACCOMPLISHMENTS AT THE WORK UNIT AND EMPLOYEE LEVELS. THERE MAY BE SITUATIONS, HOWEVER, WHEN ACTIVITIES, BEHAVIORS, OR PROCESSES MAY BE IMPORTANT TO INCLUDE IN AN EMPLOYEE'S PERFORMANCE PLAN. THIS HANDBOOK DOES NOT FOCUS ON HOW TO DEVELOP THOSE KINDS OF MEASURES. HOWEVER, WE WOULD BE REMISS NOT TO INCLUDE A DISCUSSION ABOUT THE IMPORTANCE OF BALANCING MEASURES IN YOUR MEASUREMENT SYSTEM. THEREFORE, A SHORT DESCRIPTION OF BALANCED MEASURES FOLLOWS.

Traditionally, many agencies have measured their organizational performance by focusing on internal or process performance, looking at factors such as the number of full-time equivalents (FTEs) allotted, the number of programs controlled by the agency, or the size of the budget for the fiscal year. In contrast, private sector businesses usually focus on the financial measures of their bottom line: return-on-investment, market share, and earnings-per-share. Alone, neither of these approaches provides the full perspective on an organization's performance that a manager needs to manage effectively. But by balancing customer and employee satisfaction measures with results and financial measures, managers will have a more complete picture and will know where to make improvements.

BALANCING MEASURES Robert S. Kaplan and David P. Norton have developed a set of measures that they refer to as “a balanced scorecard.” These measures give top managers a fast but comprehensive view of the organization's performance and include both process and results measures. Kaplan and Norton compare the balanced scorecard to the dials and indicators in an airplane cockpit. For the complex task of flying an airplane, pilots need detailed information about fuel, air speed, altitude, bearing, and other indicators that summarize the current and predicted environment. Reliance on one instrument can be fatal. Similarly, the complexity of managing an organization requires that managers be able to view performance in several areas simultaneously. A balanced scorecard—or a balanced set of measures—provides that valuable information.

MANAGING PERFORMANCE FROM THREE PERSPECTIVES A variety of studies have shown that both the public and private sectors have used balanced measures to help create high-performing organizations. Because balancing the perspectives of business, customers, and employees plays a key role in organizational success, OPM regulations (effective November 13, 2000) now require agencies to evaluate senior executive performance using balanced measures, which should take into account the following factors:

- | **The business perspective**, which has a different interpretation in the Government than in the private sector. For many organizations, there are actually two separate sets of measures: the outcomes, or social/political impacts, which define the role of the agency/department within the Government and American society; and the business processes needed for organizational efficiency and effectiveness. Many of the outcome-oriented goals agencies establish in their strategic plans under the Government Performance and Results Act include the business perspective. To gain the business perspective, Federal managers must answer the question: *How do we look to Congress, the President, and other stakeholders?*

- | **The customer perspective**, which considers the organization’s performance through the eyes of its customers, i.e., American citizens, so that the organization retains a careful focus on customer needs and satisfaction. To achieve the best in business performance, agencies must incorporate customer needs and wants and must respond to them as part of their performance planning. Federal managers must answer the question: *How do customers see us?*
- | **The employee perspective**, which focuses attention on the performance of the key internal processes that drive the organization, including employee development and retention. This perspective directs attention to the basis of all future success—the organization’s people and infrastructure. Adequate investment in these areas is critical to all long-term success. Federal managers must answer the question: *Do employees view the organization as a good place to work and develop their skills?*

TIE-IN TO EMPLOYEE PERFORMANCE The balanced measures philosophy need not apply only at the organizational or senior executive level. A balanced approach to employee performance appraisal is an effective way of getting a complete look at an employee's work performance. Too often, employee performance plans with their elements and standards measure behaviors, actions, or processes without also measuring the results of employees’ work. By measuring only behaviors or actions in employee performance plans, an organization might find that most of its employees are appraised as *Outstanding* when the organization as a whole has failed to meet its objectives.

By using balanced measures at the organizational level, and by sharing the results with supervisors, teams, and employees, managers are providing the information needed to align employee performance plans with organizational goals. By balancing the measures used in employee performance plans, the performance picture becomes complete.

Categories of Work

Sometimes performance plans describe elements using categories of work. Categories are classifications of work types often used to organize performance elements and standards. If, for example, the first beekeeper in our fable had used categories of work for his elements, he might have used the broad category of “making honey” as the element and then included a grouping that described all the activities the bees did to make the honey, such as gather nectar, report to the drones, etc. Other examples of categories of work and the types of activities that are often described under these categories include:

- | customer service (greet customers with a smile, answers the phone promptly)
- | teamwork (cooperates with others, shares information)
- | communication (writes well, gives presentations)
- | office duties (files papers, prepares reports)

THIS HANDBOOK DOES NOT EXPLAIN HOW TO DESCRIBE AND MEASURE CATEGORIES OF WORK. HERE YOU ARE ASKED TO CONCENTRATE ON MEASURING ACCOMPLISHMENTS.

EXERCISE ON DISTINGUISHING ACTIVITIES FROM ACCOMPLISHMENTS:

It is time to check your understanding of the differences among activities, accomplishments, and categories. Please check the column that best describes each item.

	<i>ACCOMPLISHMENT</i>	<i>ACTIVITY</i>	<i>CATEGORY</i>
Trains employees			
Supervision			
A completed case			
Public relations			
Recommendations			
Customer service			
HR policy interpretations			
Writes agency policy			
Solutions to problems			
Develops software programs			
Ideas and innovations			
Files paperwork			
Writes memos			
Computer systems that work			
Teamwork			
A completed project			
Satisfied customers			
Answers the phone			
Assists team members			

ANSWERS ON PAGE 88

chapter 3

DEVELOPING EMPLOYEE PERFORMANCE PLANS

Y

ou are now going to begin an eight-step process for developing employee performance plans that support organizational goals. Before you begin, however, we want to briefly review a process for developing performance plans that you may have followed in the past but will **NOT** be learning here.

Traditionally in some organizations, performance plans have been developed by copying the activities described in an employee's job description onto the appraisal form. This handbook asks that you **NOT** begin with the position description. Even though a performance plan must reflect the type of work described in the employee's position description, the performance plan does not have to mirror it.

The next two pages illustrate what happens when you develop a performance plan solely from a position description. Page 22 is a simplified position description for a Retirement Benefits Specialist within the Claims Division branch of our example agency — the Federal Benefits Bureau (FBB). Notice how the duties and responsibilities in the position description all begin with a verb. They describe **activities**, not **accomplishments**.

chapter 3

A performance plan for a Retirement Benefits Specialist follows on page 23. It was written by copying the simplified position description from page 22 onto the appraisal form. Note that by copying the activities from the position description onto the appraisal form, FBB has developed a performance plan that only measures **activities**, not accomplishments. Also, by developing a performance plan without using a process that links **accomplishments** to organizational goals, the organization has lost the opportunity to use the appraisal process to communicate its goals to its employees and to align employee efforts with its goals.

REMEMBER THAT FBB'S APPRAISAL PROGRAM APPRAISES EMPLOYEE PERFORMANCE ON ELEMENTS AT FIVE LEVELS. THE FORM ON PAGE 23 SHOWS FIVE POSSIBLE LEVELS OF PERFORMANCE: UNSATISFACTORY (U), MINIMALLY SUCCESSFUL (MS), FULLY SUCCESSFUL (FS), EXCEEDS FULLY SUCCESSFUL (EFS), AND OUTSTANDING (O).

POSITION DESCRIPTION

THE DUTIES AND RESPONSIBILITIES IN THE POSITION DESCRIPTION ALL BEGIN WITH A VERB. THEY DESCRIBE ACTIVITIES.

POSITION DESCRIPTION: #123456
 ORGANIZATIONAL TITLE: RETIREMENT BENEFITS SPECIALIST

INTRODUCTION

The incumbent of this position serves in a highly responsible capacity as a Retirement Benefits Specialist in an office responsible for the adjudication of claims for retirement and insurance benefits.

The work requires the services of an experienced, fully-trained Retirement Benefits Specialist. This position is responsible for considering and acting on all aspects of claims and applications for retirement and insurance benefits in an assigned area.

MAJOR DUTIES AND RESPONSIBILITIES

- | Determine entitlement to and the amount of retirement annuities and survivor benefits, as well as payments to adult students and the entitlements and payments to certain other parties such as former spouses.
- | Develop the record in individual cases, determining what is necessary and the sources of needed information.
- | Adjudicate cases.
- | Review and approve recommendations and decisions made by other Specialists, and provide training, advice, and assistance.
- | Respond to inquiries from various customer sources and provide clear, responsive explanations of actions taken and the bases for them.

APPROVING AUTHORITY SIGNATURE

DATE

PERFORMANCE PLAN

 **THIS IS NOT THE TYPE OF PERFORMANCE PLAN THAT YOU WILL DEVELOP IF YOU FOLLOW THE METHOD PRESENTED IN THIS HANDBOOK.**

EMPLOYEE PERFORMANCE PLAN			
Name		Effective Date	
<i>JOB TITLE</i> Retirement Benefits Specialist		<i>NAME OF OFFICE</i> Office of Retirement Services	
<i>ELEMENTS</i>	<i>TYPE</i>	<i>STANDARDS</i>	<i>RATING</i>
<p><i>TECHNICAL AND POLICY EXPERT</i></p> <ul style="list-style-type: none"> Determine entitlement to and the amount of retirement annuities and survivor benefits, as well as payments to adult students and the entitlements and payments to certain other parties such as former spouses. Develop the record in individual cases, determining what is necessary and the sources of needed information. Adjudicate cases of unusual technical difficulty. 	Critical	<p><i>FULLY SUCCESSFUL:</i></p> <p>Amounts of payments are accurate and determined timely.</p> <p>Amounts of payments are accurate and determined timely.</p>	<input type="checkbox"/> MS <input type="checkbox"/> FS <input type="checkbox"/> EFS <input type="checkbox"/> O
<p><i>LEADERSHIP</i></p> <ul style="list-style-type: none"> Review and approve recommendations and decisions made by other Specialists, and provide advice and assistance. 	Critical	<p><i>FULLY SUCCESSFUL:</i></p> <p>Reviews cases as requested.</p> <p>Provides high-quality back and advice to other Specialists.</p>	<input type="checkbox"/> U <input type="checkbox"/> MS <input type="checkbox"/> FS <input type="checkbox"/> EFS <input type="checkbox"/> O
<p><i>CUSTOMER SERVICE</i></p> <ul style="list-style-type: none"> Respond to inquiries from various customer sources and provide clear, responsive explanations of actions taken and the bases for them. 	Critical	<p><i>FULLY SUCCESSFUL:</i></p> <p>Customer inquiries are routinely addressed accurately and in a timely fashion.</p>	<input type="checkbox"/> U <input type="checkbox"/> MS <input type="checkbox"/> FS <input type="checkbox"/> EFS <input type="checkbox"/> O
<i>COMMENTS:</i>			
<i>APPRAISING OFFICIAL SIGNATURE</i>		<i>EMPLOYEE SIGNATURE</i>	

HAVING REVIEWED HOW TO DEVELOP A PERFORMANCE PLAN THAT FOCUSES ONLY ON ACTIVITIES, WE WILL NOW DEVELOP A PERFORMANCE PLAN THAT ESTABLISHES ELEMENTS AND STANDARDS, ADDRESSING ACCOMPLISHMENTS THAT LEAD TO ORGANIZATIONAL GOAL ACHIEVEMENT. **AN EIGHT-STEP PROCESS HAS BEEN DEVELOPED TO PRODUCE SUCH PLANS.** EACH STEP IN THE EIGHT-STEP PROCESS WE PRESENT IN THIS HANDBOOK BUILDS ON THE PREVIOUS STEP; YOU CANNOT SKIP A STEP AND END UP WITH GOOD RESULTS.

step 1

step 1: look at the overall picture

DEVELOPING EMPLOYEE PERFORMANCE PLANS

Instead of beginning at the bottom of the organization with the position description to develop employee performance plans, begin the process by looking at your agency's goals and objectives. Gather the following information:

| *WHAT ARE YOUR AGENCY'S GENERAL OUTCOME GOALS AS OUTLINED IN ITS STRATEGIC PLAN?*

The Government Performance and Results Act of 1993 (i.e., GPRA) requires all agencies to develop a strategic plan that includes objective, quantifiable, and measurable performance goals. Agencies submitted their first strategic plans to Congress in September 1997. You will be referring to your agency's strategic plan while creating employee performance plans.

| *WHAT ARE THE SPECIFIC PERFORMANCE GOALS ESTABLISHED FOR YOUR PROGRAM AREA AS OUTLINED IN YOUR AGENCY'S ANNUAL PERFORMANCE PLAN?*

GPRA also requires each agency to have an annual performance plan that sets out measurable goals that define what will be accomplished during a fiscal year. The goals in the annual performance plan describe the incremental progress toward achieving the general goals and objectives in the strategic plan. Performance plan goals are usually more specific and may be more output-oriented than the general outcome goals found in the strategic plan. Since performance plan goals should be used by managers as they direct and oversee how a program is carried out, these are the goals to which employee performance plans should be linked.

| *WHAT PERFORMANCE MEASURES ARE ALREADY IN PLACE?*

You should be aware of the measurement systems that you can access for information on performance, including measures used for determining progress toward achieving Results Act goals and customer satisfaction surveys.

EXAMPLE OF ORGANIZATIONAL GOALS

Again, this handbook will continually refer to the Retirement Benefits Specialist position located within the Retirement Claims Division (a division of the Office of Retirement Services) of our example agency - the Federal Benefits Bureau (FBB). One of the primary functions of this position is to process retirement claims. FBB's strategic, outcome-oriented goals and two of the Office of Retirement Service's performance goals established in FBB's annual performance plan serve as examples of organizational goals. You will use this information in the next step of our eight-step process.

example organizational goals

STRATEGIC GOALS

Provide. Offer a wide range of benefits and retirement services that will enhance recipients' quality of life.

Diversity. Create and maintain an inclusive work environment that values diversity and allows every employee the opportunity to reach their highest potential.

Serve. FBB's customer service, benefits, and retirement services meet the evolving needs of Federal employees and their families.

Integrity. Act as model agency within the Federal Government through fiscally responsible business practices and a commitment to excellence.

FBB'S ANNUAL PERFORMANCE PLAN GOALS FOR THE OFFICE OF RETIREMENT SERVICES (ORS)

ORS GOAL #2

Retirement claims processing times are reduced and more customer services are delivered through self-servicing technology, while customer satisfaction is maintained at last fiscal year's level.

**DIRECTLY LINKED
TO FBB'S
THIRD GOAL: SERVE**

MEANS: (ONLY TWO MEANS ARE PRESENTED HERE.)

- | We will use the ORS Calculator implemented through the automation improvement project to reduce the time needed to process claims.
- | We will continue the availability of both Interactive Voice Response and Internet technology to make annuity payment account changes.

CUSTOMER SATISFACTION INDICATORS

- | Customers who received their first payment either before or when they expected. (The goal is to reach 80 percent.)
- | Annuitants who indicate overall satisfaction with the handling of their retirement claims. (The goal is to reach 95 per cent.)

BUSINESS PROCESS INDICATORS

- | Interim payment processing time. (The goal is 4.5 days.)
- | Annuity processing time. (The goal is 90 days.)
- | Annuity claims accuracy. (The goal is 92 percent.)

FINANCIAL INDICATOR

Claims processing unit cost. (The goal is \$190 per claim.)

step 2

step 2: determine work unit accomplishments

DEVELOPING EMPLOYEE PERFORMANCE PLANS

The next step in this eight-step method is to determine the accomplishments (i.e., the products or services) of the work unit. Identifying work unit accomplishments lets you identify appropriate measures in the following steps of this process.

A work unit is a small group of employees that, in a traditional work structure, is supervised by the same first-line supervisor. Work units are generally the smallest organizational group on the organizational chart and usually include between 5 and 20 people. A work unit can also be a team—permanent or temporary—where the team members work interdependently toward a common goal.

Because not all types of work situations and structures are the same, this handbook offers three different ways to determine what to measure at the work unit level:

- A. A GOAL CASCADING METHOD**
- B. A CUSTOMER-FOCUSED METHOD**
- C. A WORK FLOW CHARTING METHOD**

You can use one or all three methods, depending on what fits your situation. Whichever you use, remember to describe accomplishments (using nouns) rather than activities (using verbs).

method A: cascade the agency's goals down to the work unit level

The **goal cascading method** works best for agencies with clear organizational goals and objectives, such as those established in the strategic plans and annual performance plans that agencies have prepared under the Government Performance and Results Act. This method requires answers to each of the following questions:

WHAT ARE THE AGENCY'S SPECIFIC GOALS AND OBJECTIVES?

These can be found in the agency's annual performance plan and customer service standards. (Note that this question repeats Step 1 of the eight-step process.)

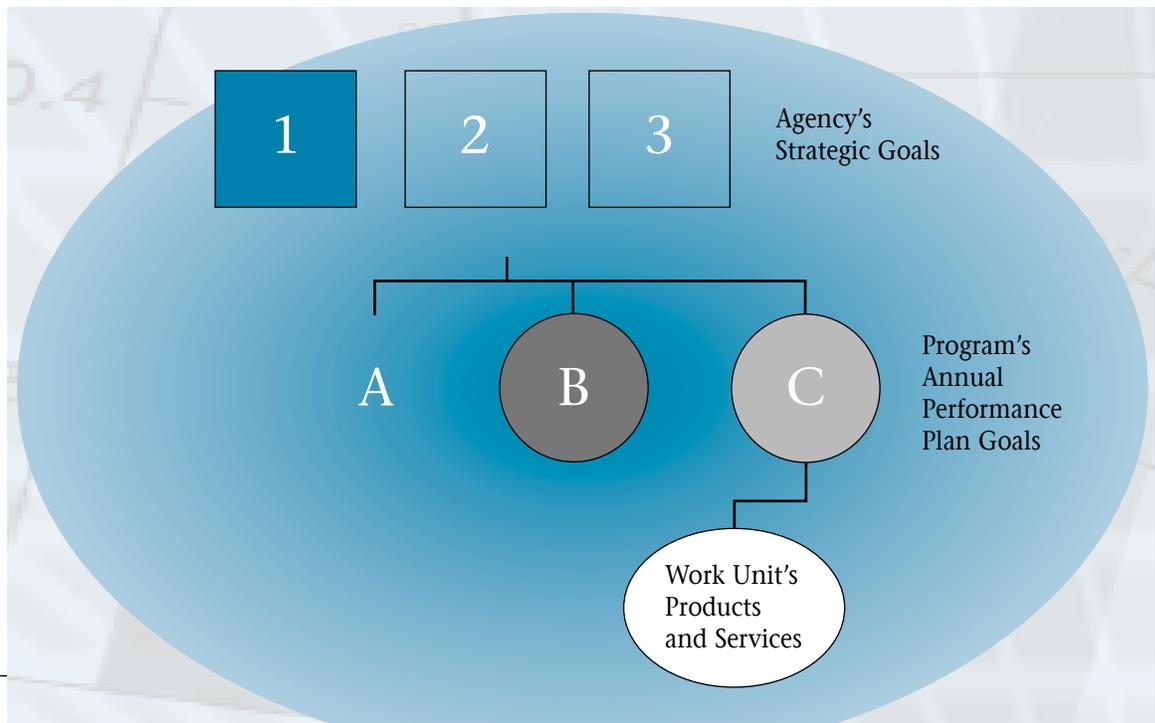
WHICH AGENCY GOAL(S) CAN THE WORK UNIT AFFECT?

Often, work units may affect only one agency goal, but in some situations, agency goals are written so broadly that work units may affect more than one.

WHAT PRODUCT OR SERVICE DOES THE WORK UNIT PRODUCE OR PROVIDE TO HELP THE AGENCY REACH ITS GOALS?

Clearly tying work unit products and services to organizational goals is key to this process. If a work unit finds it generates a product or service that does not affect organizational goals, the work unit needs to analyze the situation. It may decide to eliminate the product or service.

CASCADING AGENCY GOALS TO WORK UNITS



EXAMPLE OF CASCADING AGENCY GOALS TO A WORK UNIT

FBB Strategic Goal

FBB's THIRD GOAL: SERVE

FBB's customer service, benefits, and retirement services meet the evolving needs of Federal employees and their families.

An Office of Retirement Services (ORS) annual performance plan goal that cascades from FBB's THIRD GOAL: SERVE

ORS GOAL #2

Retirement claims processing times are reduced and more customer services are delivered through self-servicing technology, while customer satisfaction is maintained at last fiscal year's levels.

Some of Office of Retirement Services (ORS) GOALS

- A.** Reduce overall processing times for annuity claims by processing fully developed annuity claims in an average of 90 days (re ORS Goal #2).
- B.** Reduce claims processing error rates by providing increased training in workplace competencies (re ORS Goal #2).

Retirement Claims Division GOALS FBB

- Claims processed in less time and with lower error rates.
- Increased number of individuals who can process insurance claims.

EXERCISE ON CASCADING GOALS

In the spaces below, begin mapping your agency's strategic and performance goals and how those goals cascade or "trickle down" through your organization. Try to show how your work unit's products or services link to your agency's goals. Remember to describe work unit accomplishments in terms of products or services (i.e., the end result of all the unit's activities).

YOUR AGENCY'S GOALS _____

YOUR ORGANIZATION'S GOALS _____

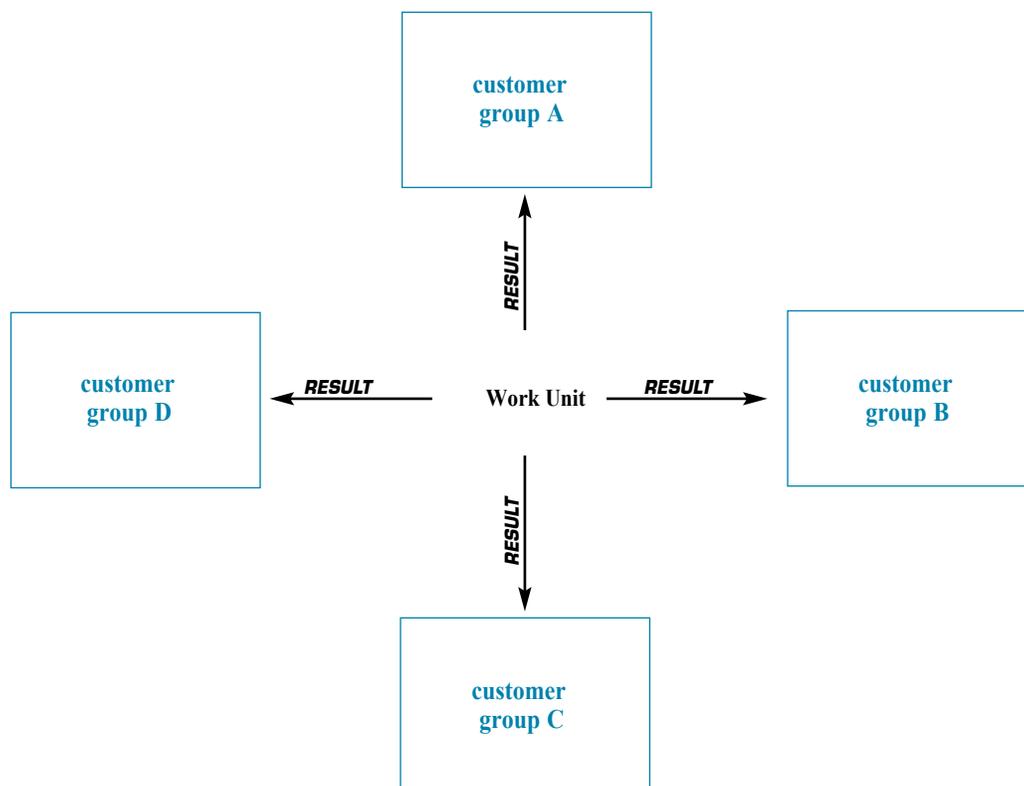
YOUR WORK UNIT'S PRODUCTS OR SERVICES _____

method B: determine the products and services the work unit provides for its customers

The **customer-focused method** works well when there are no clear agency goals and when the work unit knows who its customers are and what they expect. Often this method is easier to apply to administrative work units that provide support functions, such as a human resources unit, an acquisitions unit, or a facilities maintenance unit. This method focuses on achieving customer satisfaction and requires answers to each of the following questions:

- | Who are the customers of the work unit? If the work unit provides a support function, most of its customers may be internal to the agency.
- | What products and/or services do the customers expect? Remember to describe accomplishments, not activities.

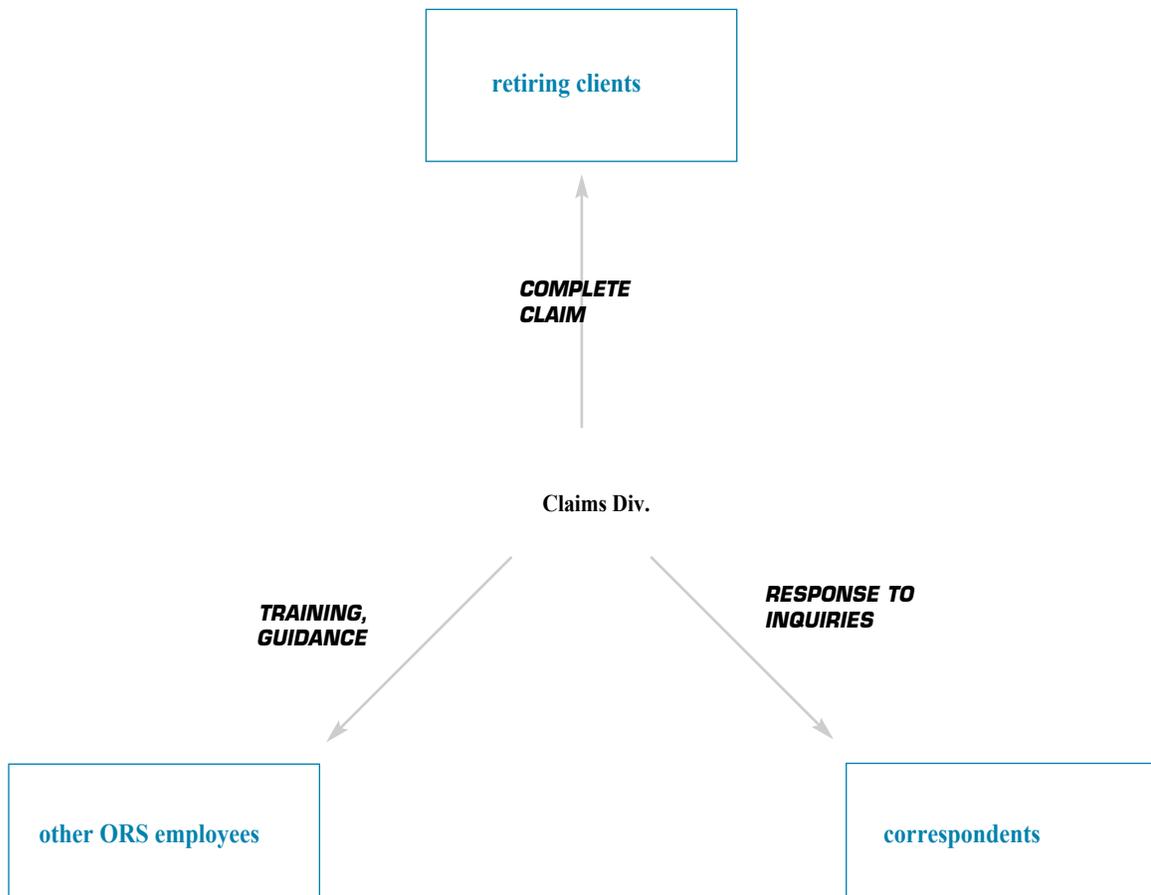
One way to approach this method is to build a map, as shown below. Place an oval representing the work unit in the center of a blank piece of paper. List the customer groups around the oval and describe the products or services the customers expect in the box under the customer groups.



EXAMPLE OF IDENTIFYING CUSTOMERS AND THEIR EXPECTATIONS

The example below diagrams the accomplishments of the Office of Retirement Service's Claims Division from a customer-focused approach. Note that the accomplishments listed are the **results** of the team's work.

example method B



EXERCISE FOR IDENTIFYING CUSTOMERS AND THEIR EXPECTATIONS

Use method B—the customer-focused method—to develop the product(s) or service(s) that your work unit provides.

- 1) Identify your work unit's customers
- 2) Determine what product(s) or service(s) your work unit supplies or provides to its customers

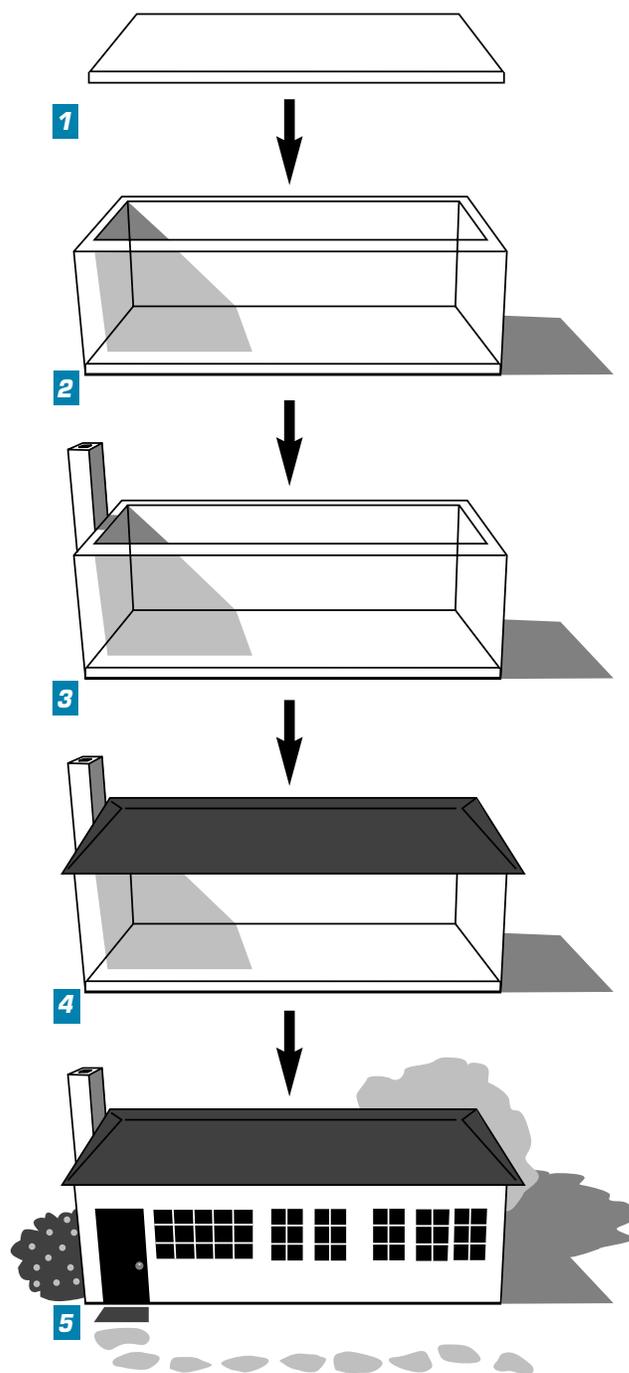
YOUR WORK UNIT

method C:

develop a work flow chart for the work unit, establishing key steps in the work process

The **work flow charting method** works well for work units that are responsible for a complete work process, such as the processing of a case, the writing of a report, or the production of a customer information package. This method asks work units to develop work flow charts. A work flow chart is a picture of the major steps in a work process or project. It begins with the first step of the work process, maps out each successive step, and ends with the final product or service. To illustrate, the work flow chart to the right depicts a work process for building a house.

1. Foundation
2. Walls
3. Chimney
4. Roof
5. A complete house



STEP 2: DETERMINE WORK UNIT ACCOMPLISHMENTS

TO HELP YOU BUILD YOUR WORK FLOW CHART, ANSWER THESE QUESTIONS:

- How does the work unit produce its products or services? List the most basic steps in the process. For this purpose, you do not need to list all the activities required. (If you were analyzing the work to find ways of improving the process, you would need to list every activity.)
- Which are the most important steps in the process? By determining these steps, you highlight areas for performance measurement.

As you map out the process, you may find yourself describing activities. Try to group the activities into key steps by describing the results of those activities as one step in the process. As an example, the activities described in the following columns are all the activities that a publication team described when it was trying to create a work flow chart for the process of developing a newsletter. By grouping the related activities into the same columns, it was easier for the team to determine the results of those activities. Those results are written at the top of the column and became the key steps in the work flow chart.

example method C

"TGUNVU" " "CEVKKVKGU"	RNCP'HQT'PGZV'KUWG	VJ G'FTCH'XGTUQP QH'VJ G'CTVÆNGU	VJ G'GF K'GF "XGTUQP" QH'VJ G'CTVÆNG	VJ G'ECO GTC/TGCF [EQRI
brainstorm ideas	interview contacts	review articles for errors	crop pictures	
meet to discuss ideas	get contact review and edits of article	make suggestions for improvements	develop the original graphics	
research various resources for ideas	get pictures or graphics, if used	make necessary changes	create layout boards	
get management approval of proposed plan	write article	consider the overall effect of the entire issue	format issue	

**WORK FLOW
CHART**

**PLAN FOR
NEXT ISSUE**

**DRAFT
ARTICLES**

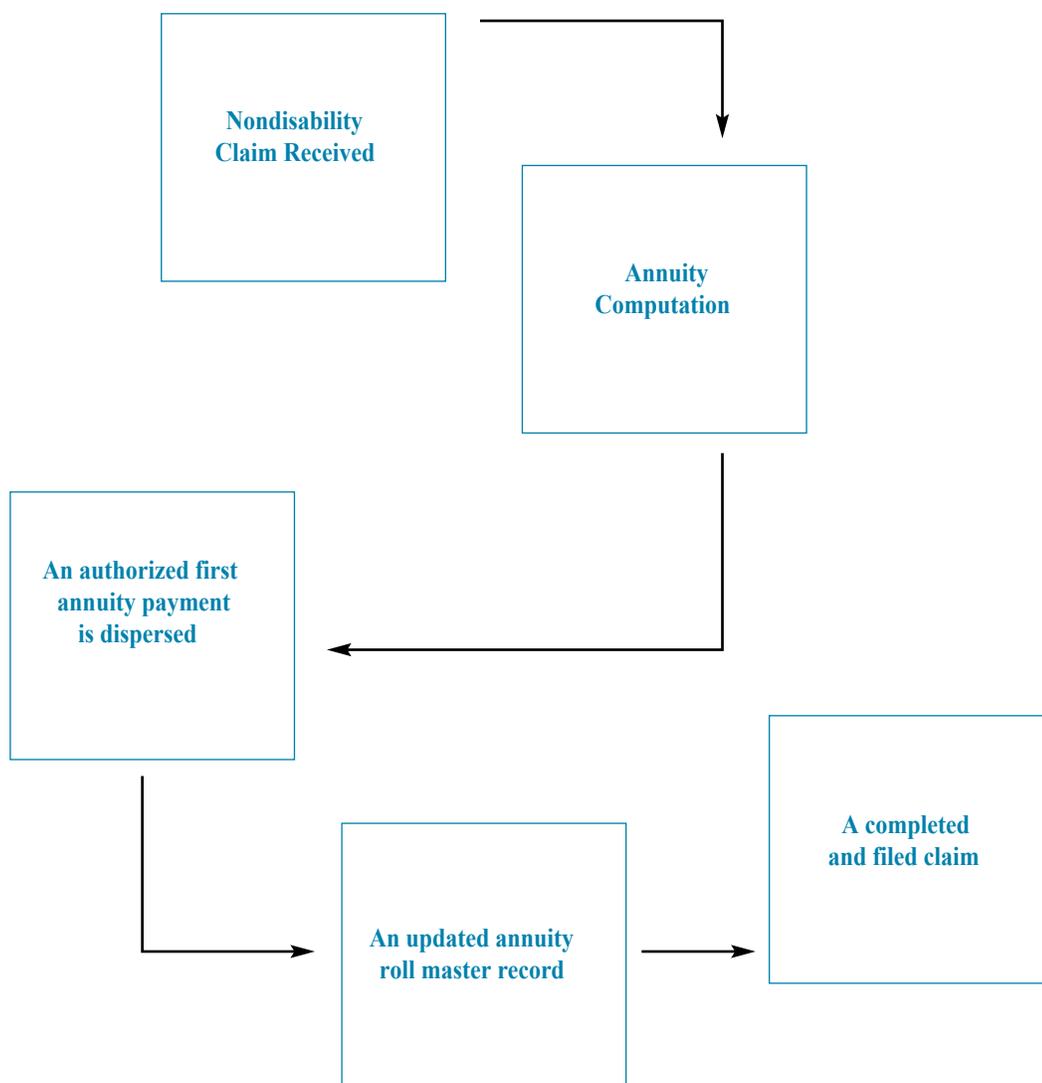
**EDIT
ARTICLES**

**CREATE
CAMERA-COPY**

ANOTHER EXAMPLE OF WORK FLOW CHARTING

This example of the results of method C—which focuses on the work flow and the key steps in the work process—uses a work flow chart that maps the key steps in processing retirement claims. Notice that the steps are described as products. In other words, all the activities to complete the steps are not listed individually but have been grouped and described as products.

example_{method C}



EXERCISE ON WORK FLOW CHARTING

- 1) Select a product or services that your work unit provides.
- 2) As best you can, map out the work process your unit uses. Focus on the major categories or steps of the work. You may need to first list the smaller steps of the work and then group them into subproducts. (Remember to describe products and services when you can, not activities.)

step 3

step 3:

determine individual accomplishments that support work unit goals

DEVELOPING EMPLOYEE PERFORMANCE PLANS

The performance elements that will be measured in the overall employee performance plan can include both individual and group assignments and responsibilities. The most important, results-oriented aspects of a unit’s performance (which are its products or services) were identified in Step 2. (Other types of processes that work units may want to measure and include as elements in their plans—but which are not products or services and would not be identified through Step 2—include internal group dynamics processes, such as decision-making or problem-solving processes, or group/team development.)

Elements that address individual accomplishments can be identified using a role-results matrix. A role-results matrix is simply a table that identifies the results each work unit member must produce to support the unit’s accomplishments. To build the matrix, list the work unit’s products or services across the top row of a table. List each member of the work unit or each job position down the left column of the matrix. For each cell of the table, ask this question: What must this unit member produce or perform (i.e., accomplish) to support this particular work unit product or service? List those employee products or services (i.e., accomplishments) in the appropriate cell. The products or services you list for each unit member are possible performance elements that might be included in the employee’s performance plan. All performance elements should be either quantifiable or verifiable and should be described as accomplishments (nouns), not activities (verbs).

A ROLE-RESULTS MATRIX

UNIT EMPLOYEES	UNIT PRODUCT OR SERVICE			
EMPLOYEE 1	ACCOMPLISHMENT	ACCOMPLISHMENT	ACCOMPLISHMENT	ACCOMPLISHMENT
EMPLOYEE 2	ACCOMPLISHMENT	ACCOMPLISHMENT	ACCOMPLISHMENT	*N/A
EMPLOYEE 3	ACCOMPLISHMENT	*N/A	ACCOMPLISHMENT	ACCOMPLISHMENT
EMPLOYEE 4	*N/A	ACCOMPLISHMENT	ACCOMPLISHMENT	ACCOMPLISHMENT

*The employee had no part in this work unit product or service.

EXAMPLE OF A ROLE-RESULTS MATRIX

An example of a role-results matrix is shown below. It was built for a work team that produces a bimonthly policy newsletter. The team has five members: the editor, three writers, and a graphic artist. The final product or output is the newsletter. (The expected outcome is better educated employees.) The team created a work flow chart (see page 36), which identified four key steps in the work process. The team then used these key steps to build the matrix and will use it to develop performance elements.

Note that the main steps of the work process are laid out along the top of the matrix. The team members are listed down the left-hand column. Accomplishments are listed for each team member. Also, note that not all members have assignments or responsibilities for every team accomplishment. (This often will occur in cross-functional work units that include a variety of different job series.)

When building a role-results matrix, you may identify certain aspects of performance at either the work unit level or the individual level that you may not be able to measure (e.g., the effect a human resources program has on organizational performance) or over which the unit or the employee has no control (i.e., a portion of the product must be completed by someone outside the work unit). Also, certain aspects of performance may cost too much to measure or the agency may not have the resources to measure them. You should not include these aspects of performance as elements in the performance plan, but they are still legitimate parts of the role-results matrix.

A role-results matrix is a valuable management tool. When supervisors involve employees in the process of completing the matrix, everyone’s role in the work unit is very clear, which is important to the successful performance of the group. The whole process of determining work unit products and services, and then completing a role-results matrix, is a beneficial team-building exercise.

example role-results matrix

A ROLE-RESULTS MATRIX FOR A NEWSLETTER TEAM:

TEAM ACCOMPLISHMENTS 

TEAM MEMBERS	THE PLAN FOR THE NEXT ISSUE	THE DRAFT VERSION OF THE ARTICLES	THE EDITED VERSION OF THE ARTICLES	THE CAMERA-READY COPY
EDITOR	TOPICS TO BE COVERED		ARTICLES THAT HAVE BEEN EDITED	
WRITER A	RECOMMENDATIONS FOR ARTICLES	DRAFT ARTICLE(S)		
WRITER B	RECOMMENDATIONS FOR ARTICLES	DRAFT ARTICLE(S)		
WRITER C	RECOMMENDATIONS FOR ARTICLES	DRAFT ARTICLE(S)		
GRAPHIC ARTIST	RECOMMENDATIONS FOR LAYOUT			A CAMERA-READY COPY

ANOTHER EXAMPLE OF A ROLE-RESULTS MATRIX

The table below displays example data gathered for FBB's Office of Retirement Service's Claims Division using the cascading method as described on pages 29-30 and the customer-focused method on pages 33-34. Note that the products or services (i.e., the work unit accomplishments) identified through the process of Step 2 are shown along the top of the matrix. Employees are listed down the left side of the matrix. Employee work accomplishments are included in each cell. Notice that the employee work responsibilities are described as accomplishments (i.e., products or services) rather than activities or behaviors.

example role-results matrix

EMPLOYEES	WORK UNIT PRODUCTS OR SERVICES		
DIVISION MGR*	CLAIMS PROCESSED IN LESS TIME AND WITH LOWER ERROR RATES	RESPONSES TO INQUIRIES	INCREASED NUMBER OF EMPLOYEES WHO CAN PROCESS CLAIMS
RETIREMENT BENEFITS SPECIALIST	A COMPLETED CLAIM SUGGESTION(S) FOR IMPROVING THE PROCESS	N/A	GUIDANCE, TRAINING, AND TECHNICAL ASSISTANCE TO OTHER SPECIALISTS
CUSTOMER SERVICE SPECIALISTS	CLAIM CONTROL LOG	CORRESPONDENCE THAT IS FORMATTED, MAILED, AND FILED ANSWERS TO CUSTOMER TELEPHONE QUESTIONS	N/A

**Note that the Division Manager is on the same row as work unit accomplishments. This shows that the Branch Manager is responsible for work unit results.*

EXERCISE FOR BUILDING A ROLE-RESULTS MATRIX

Fill in the role-results matrix for your work unit. Place the work unit products or services that you developed in Step 2 (using method A, page 31, method B, page 34, and/or method C, page 38) along the top of the matrix. Fill in the names or the job titles of the work unit’s employees in the left-hand column. Then fill in the employees’ accomplishments that contribute to each work unit accomplishment.

EMPLOYEES	WORK UNIT PRODUCTS OR SERVICES			
ORGANIZATIONAL CHIEF				

step 4

step 4: convert expected accomplishments into performance elements, indicating type and priority

DEVELOPING EMPLOYEE PERFORMANCE PLANS

In Steps 2 and 3 of the process presented in this handbook, you developed the expected accomplishments for the work unit and the unit's employees. Now, in Step 4, you will:

- | identify which accomplishment(s) should be included as elements in the performance plan
- | select which type of element to use
- | assign weights or priorities

All employees must have at least one critical element in their performance plan. Critical elements must address individual performance only, except in the case of supervisors who may be held responsible for a work unit's products or services. Work unit performance can be addressed through non-critical or additional performance elements. In appraisal programs with only two summary levels, work unit performance can be addressed only through additional performance elements.

Once you have classified elements as either critical, non-critical, or additional, and if your appraisal program allows, prioritize them so that work units and employees know which elements are most important. One way to do this is to distribute 100 percent-age points across the elements based on each one's importance to the organization. (Programs usually allocate weights in five-percent increments.)

HOW CAN YOU DETERMINE WHICH ELEMENTS ARE CRITICAL?

Remember that critical elements are work assignments or responsibilities of such importance that unacceptable performance on the element would

result in a determination that an employee's overall performance is unacceptable. Defining critical elements must be done thoughtfully because an employee's unacceptable performance on any critical element could be the basis for an adverse action. To help decide whether an element should be classified as critical or not, answer the following questions:

- | Is the element a major component of the work? If you answered "yes," the element might be critical.
- | Does the element address individual performance only? Elements measuring group performance cannot be critical elements, except as explained for supervisors and only under certain circumstances.
- | If the employee performed unacceptably on the element, would there be serious consequences to completing the work of the organization? If employee error on the element affects the work unit's accomplishments, the element may be critical.
- | Does the element require a significant amount of the employee's time? If you answered "yes," the element might be critical.

Unless prescribed by your appraisal program, there is no fixed or uniform number of critical elements to be included in the performance plan; the number varies with the work assignments and may vary from year to year in response to changing program emphases. However, every employee must have at least one critical element.

EXAMPLE OF IDENTIFYING ELEMENTS

The Claims Division within the Office of Retirement Services (ORS) has been used on the following page as an example for identifying elements. The expected accomplishments of the Retirement Benefits Specialist (as outlined in the role-results matrix on page 41) are listed down the left side of the matrix on the next page. The work unit accomplishments for the Division are also listed. The next column shows how the Division Manager and employees designated elements as critical, non-critical, or additional. Finally, priority points are assigned to each element to give them relative weights. (Remember that ORS's appraisal program uses five levels to appraise employee performance on elements and summarizes performance overall at five levels and that non-critical and additional performance elements are allowed.)

example identifying elements

Note the following in the matrix on page 45:

1. The Division decided that "Suggestions for Improving the Process" should not affect the summary level, but the Division wanted to track and measure the value of the suggestions in order to recognize individuals who help improve the process. Therefore, it was included as an additional element and given a weight of 0. The Division plans to use the results of performance on this element as a criterion for awards recognizing innovation by individuals within ORS.
2. The Division decided that claims completed by individuals should be a critical element for Benefits Specialists, but the Division also felt it was important to count in employee performance plans the group's performance as a whole on claims completed. The Division felt that counting group performance on claims processed would encourage specialists to work together as a group and promote collaboration. Since this Division is under a five-level appraisal program and it wants to count this group element in the appraisal process, it will be a non-critical element. (If it were in a two-level appraisal program, the group element would have to be an additional performance element.)
3. For the group goal of increased number of employees who can process insurance claims, the Division decided not to count group performance in the appraisal process. Because of the importance of this group goal, however, management decided to make it an additional element and use it as a basis for recognizing the group if it meets specific goals. (Note that the Division is measuring individual performance to support this group goal and is counting individual performance as a critical element.)
4. The Division determined the priority of each element by distributing 100 points across the critical and non-critical elements. The priority points let employees know which elements are more important to the organization. Priority points also are used in this example to affect how the summary level will be determined. Using this method allows non-critical elements to count significantly in the summary level determination. (Failure on the non-critical element would not cause performance to be *Unacceptable*; it would merely count as 0 priority points and could lower the summary level—but not to *Unacceptable*.)

example identifying elements

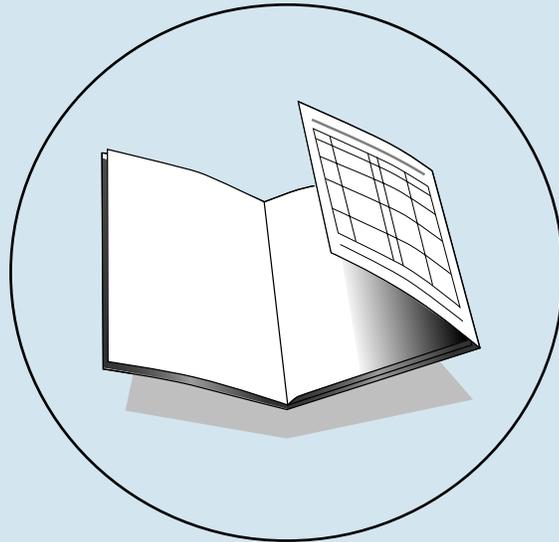
ORS RETIREMENT CLAIMS DIVISION RETIREMENT BENEFITS SPECIALIST

<i>ELEMENT</i>	<i>ELEMENT TYPE</i>	<i>WEIGHT or POINTS</i>
Completed claims	Critical (CE)	50
Suggestion(s) for improving the process	Additional (AE)	0
Guidance and technical assistance to other specialists	Critical (CE)	35
<i>WORK PRODUCTS OR SERVICES</i>		
Claims processed in less time and with lower error rates	Non-critical (NC)	15
Increased number of employees who can process claims	Additional (AE)	0

EXERCISE ON IDENTIFYING ELEMENTS

Based on the accomplishments that you identified for your job in the role-results matrix that you made on page 42 and working within the rules established by your appraisal program, identify appropriate elements and categorize them as critical, non-critical, and, if appropriate, additional performance elements. Write those elements and their type under the columns marked “Element” and “Type” on the foldout form on the back cover . (If you have a two-level appraisal program—that is, a pass/fail program—you cannot use non-critical elements.) If applicable, prioritize the elements by distributing 100 points among the elements, giving more points to elements that are more important. Write the priority points you assign under the column labeled “priority” on the foldout form on the back cover .

FOLD OVER INSIDE BACK COVER FLAP AS SHOWN TO FILL OUT CHART



step 5: determine work unit and individual measures

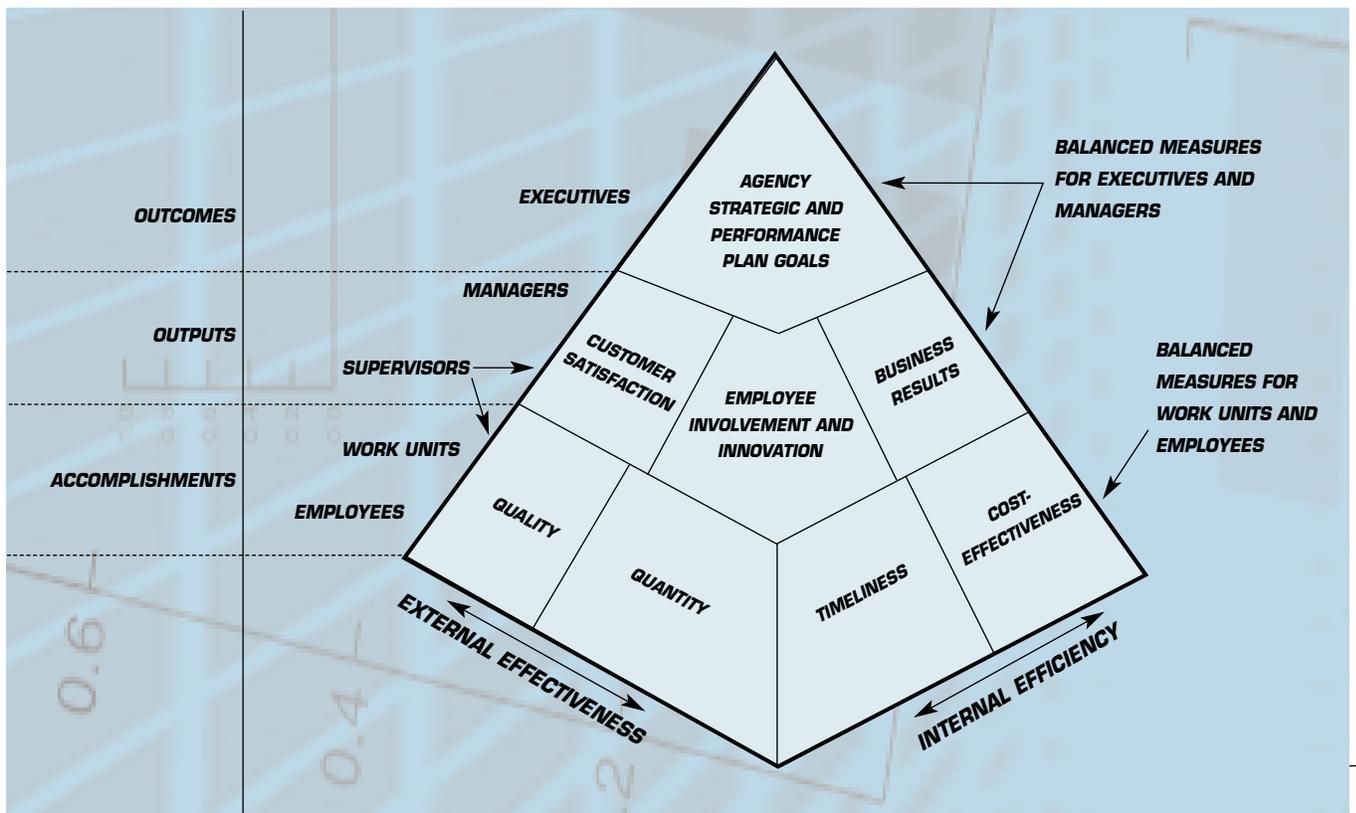
DEVELOPING EMPLOYEE PERFORMANCE PLANS

In Step 4 of this process, you designated the critical, non-critical, and additional performance elements you will include in your performance plan. In Step 5, you will determine how to measure performance on those elements.

Measures are the yardsticks used to determine how well work units and employees produced or provided products or services. To develop specific measures of performance for each element in your performance plan, you first must determine the general measures that apply to each. Once you determine the general and specific measures, you will be able to develop the standards for your elements, which you will do in Step 6 of this process. Your standards will be worded in terms of the specific measures developed in this step.

The performance pyramid below shows the types of general measures that are used at different levels in the organization. Note that the balanced measures incorporating the business, customer, and employee perspectives are appropriate for measuring managerial performance and are sometimes appropriate for supervisory or even work unit performance. At the bottom of the pyramid, the four general measures normally used for measuring work unit and employee performance are quality, quantity, timeliness, and cost-effectiveness.

PERFORMANCE PYRAMID FOR IDENTIFYING PERFORMANCE MEASURES



GENERAL MEASURES

QUALITY addresses how well the employee or work unit performed the work and/or the accuracy or effectiveness of the final product. Quality refers to accuracy, appearance, usefulness, or effectiveness. Quality measures can include error rates (such as the number or percentage of errors allowable per unit of work) and customer satisfaction rates (determined through a customer survey).

QUANTITY addresses how much work the employee or work unit produced. Quantity measures are expressed as a number of products produced or services provided, or as a general result to achieve.

TIMELINESS addresses how quickly, when, or by what date the employee or work unit produced the work.

COST-EFFECTIVENESS addresses dollar savings or cost control for the Government. You should develop measures that address cost-effectiveness on specific resource levels (money, personnel, or time) that you can generally document and measure in agency annual fiscal year budgets. Cost-effectiveness measures may include such aspects of performance as maintaining or reducing unit costs, reducing the time it takes to produce or provide a product or service, or reducing waste.

DEVELOPING SPECIFIC MEASURES

To develop specific measures, you first must determine the general measure(s) that are important for each element (i.e., quantity, quality, timeliness, or cost-effectiveness). Then, determine how to measure the quantity, quality, timeliness, and/or cost-effectiveness for the element. If you can measure an accomplishment with numbers, record the form of measurement. If you can only describe performance (i.e., observe and verify), clarify who will appraise the performance and the factors they will appraise.

The kinds of questions you should ask in this process include the following.

FIRST: For each element, decide which general measures apply:

- | Is quality important? Does the stakeholder or customer care how well the work is done?
- | Is quantity important? Does the stakeholder or customer care how many are produced?
- | Is it important to accomplish the element by a certain time or date?
- | Is it important to accomplish the element within certain cost limits?
- | What measures are already available?

SECOND: For each general measure, ask:

- | How could [quality, quantity, timeliness, and/or cost-effectiveness] be measured?
- | Is there some number or percent that could be tracked?

If the element does not lend itself to being measured with numbers and can only be described, ask:

- | Who could judge that the element was done well?
- | What factors would they look for?

FINALLY: Write down or otherwise record the specific measures. If the measure is numeric, list the units that you will track. If the measure is descriptive, identify the judge and list the factors that the judge will look for to observe and verify performance.

example

general & specific measures

CLAIMS DIVISION

Note that general and specific measures have been added to the elements for a Retirement Benefits Specialist (see page 45).

Also note that only the measures have been identified, not the standard that describes how well the element should be done. (Standards are addressed in the next step in the process.)

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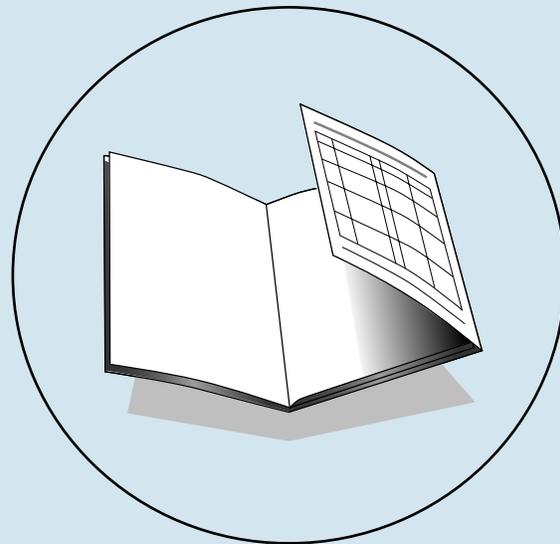
PRIORITY POINTS	ELEMENT	TYPE	GENERAL MEASURES	SPECIFIC MEASURES
50	Completed <i>claim</i>	CE	Quality Quantity Timeliness	The accuracy of annuity amounts. The completeness of the paperwork The number of claims processed per week The average number of days it takes to process a claim*
35	<i>Guidance and technical assistance</i> to other specialists	CE	Quality Timeliness	The accuracy of the information, as determined by supervisor The perceptions of other specialists that the incumbent is willing to assist and that feedback is helpful The number of hours it takes for the incumbent to respond to other specialists' requests for assistance
15	Division Element: Division <i>claims</i> processed in less time and with lower error rates	NC	Quality Quantity Timeliness	The accuracy rate for annuity amounts from the whole Division The number of claims the Division processes per week The average number of days it takes to process a claim*
0	Suggestion(s) for improving the process (for special individual recognition)	AE	Quality Quantity Cost-Effectiveness	The supervisor's and reviewers' judgment that the suggestion(s) improve(s) efficiency, productivity, and flexibility The number of suggestions made The amount of money saved by adopting the suggestion
0	Division Element: Increased number of employees who can process claims	AE	Quantity Quality	The number of employees who can do claims The accuracy rate of annuities processed

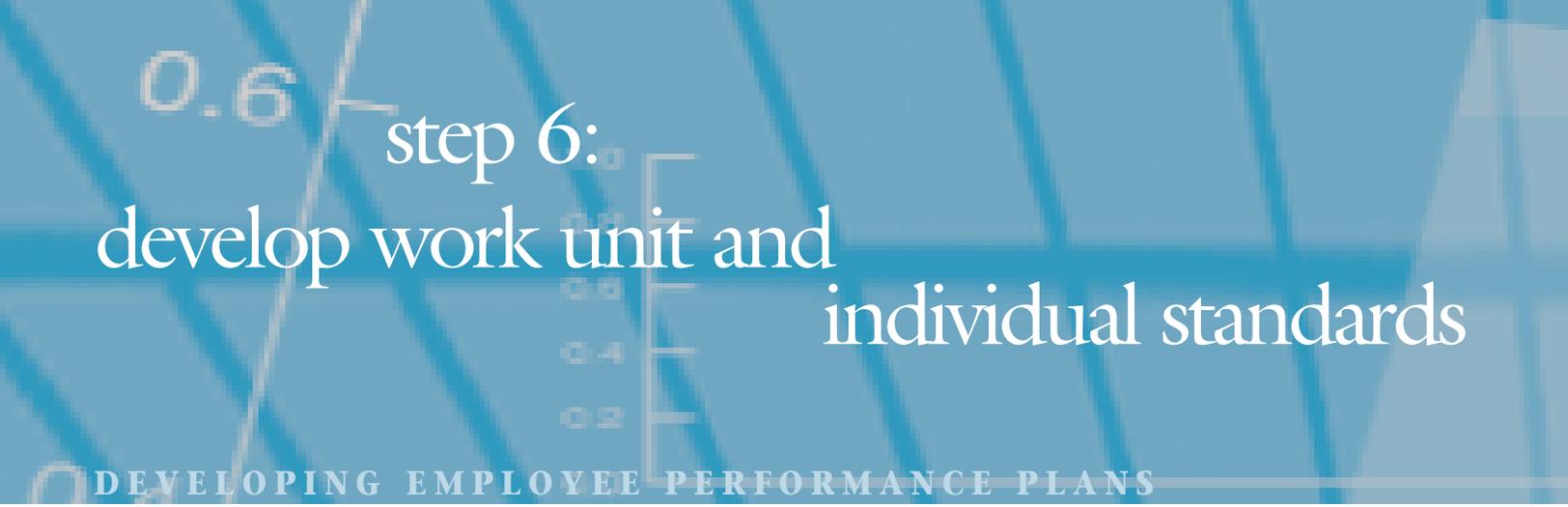
**Note: Using the average adjusts for the varying levels of difficulty in claims and ensures that specialists will not focus only on easy claims and ignore the difficult ones. Also, all specialists are assigned equal numbers of easy and difficult claims to ensure fairness of the standard. Finally, the average can be prorated when necessary.*

EXERCISE FOR DETERMINING GENERAL AND SPECIFIC MEASURES

Determine the general measures for your job based on the elements that you created in the previous exercise on page 46. Next, identify some specific measures. Write down those general and specific measures under the columns labeled “General Measure” and “Specific Measure” on the foldout form on the back cover.

FOLD OVER INSIDE BACK COVER FLAP AS SHOWN TO FILL OUT CHART





step 6: develop work unit and individual standards

DEVELOPING EMPLOYEE PERFORMANCE PLANS

The next step in the process of developing a performance plan is to establish standards for the elements. To work through this section successfully, you will need to know the number of levels your appraisal program uses to appraise elements. You also will need to know which performance level your program uses as the retention standard. (A definition of retention standard is included in this section.) The discussions below address performance standards and what to avoid when writing standards.

WHAT IS A PERFORMANCE STANDARD?

Performance standards are management-approved expressions of the performance threshold(s), requirement(s), or expectation(s) that employees must meet to be appraised at particular levels of performance.

Each critical element must have a *Fully Successful* or equivalent standard established. Technically, neither non-critical elements nor additional performance elements require a *Fully Successful* or equivalent standard. However, to help employees and work units understand the expectations for performance on these elements, we recommend that they have a clear idea of what is considered fully successful performance.

(NOTE: NON-CRITICAL ELEMENTS MUST BE APPRAISABLE AT LEAST ON TWO LEVELS, BUT THOSE LEVELS CAN BE ESTABLISHED HIGHER THAN THE FULLY SUCCESSFUL LEVEL.)

step 6

WHAT SHOULD PERFORMANCE STANDARDS INCLUDE?

Once you have established the specific measures that apply to the elements, you can begin to write the standards. Before writing the *Fully Successful* standard, you must know the number of levels that your appraisal program uses to appraise elements. For example, if you are under an appraisal program that uses two levels to appraise elements, the *Fully Successful* standard would describe a single point of performance. Any performance at or above that point is *Fully Successful*, and anything below it is *Unacceptable*. If, however, your appraisal program uses five levels to appraise performance, you would describe the *Fully Successful* standard as a range. Performance that exceeds the top of that range would be appraised at the level(s) above *Fully Successful*, and performance below the bottom of that range would be *Minimally Successful* (or equivalent) or *Unacceptable*. How you write the *Fully Successful* standard depends on the number of levels your program uses to appraise performance on elements.

If a specific measure for an element is numeric, for example, you would list the units to be tracked and determine the range of numbers (or the single number in a program that appraises elements at two levels) that represents *Fully Successful* performance. If the specific measure is descriptive, you would identify the appraiser(s) who would judge performance, list the factors that the appraiser(s) would look for, and determine what he or she would see or report that verifies that *Fully Successful* performance for that element had been met. (Remember to express performance standards in terms of the specific measure[s] determined in Step 5 of this process.)

Several examples of elements and standards are included below. The specific measures are in italics; the performance (or range of performance) that actually establishes the level of the standard is in boldface type.

ELEMENT: CASES COMPLETED

Fully Successful Standard in an appraisal program that appraises elements at five levels (to meet this standard, all of the bullets listed must be present or occur):

- | no more than **3-4** *valid customer complaints per year*, as determined by the supervisor
- | no more than **2-3** *errors per quarter*, as spotted by the supervisor
- | no more than **4-5** *late cases per year* (processed later than 10 working days from receipt)

(If this standard had been written for an appraisal program that appraised elements at only two levels, the standard would have been “no more than **4** *valid customer complaints per year*,” “no more than **3** *errors per quarter*,” and “no more than **5** *late cases per year*.”)

ELEMENT: MEETINGS SCHEDULED

Fully Successful Standard in an appraisal program that appraises elements at five levels (to meet this standard, all of the bullets listed must be present or occur):

The **meeting leader and attendees generally are satisfied** that

- | *the room size matched the group size*
- | *attendees were notified of the meeting*
- | *attendees knew whom to call for information*
- | *the meeting was set up by the deadline*

ELEMENT: LEGAL ADVICE

Fully Successful Standard in an appraisal program that appraises elements at five levels (to meet this standard, all of the bullets listed must be present or occur):

- | Consistent with attorney's grade, attorney **usually** *carries an adequate workload of projects*, **frequently** *takes on new projects* to meet the needs of the office, and **generally** *shows personal initiative* in handling projects (generally, projects are of average difficulty)
- | Consistent with attorney's grade, legal advice rendered is **infrequently** *modified by practice group leaders and supervisors* in a **significant** way
- | Advice given to clients is **usually** *timely and thorough* and of **average** *quality*, and **usually** *shows sensitivity* to program and agency needs

ADDITIONAL EXAMPLES OF ELEMENTS AND STANDARDS SPECIFICALLY WRITTEN FOR APPRAISAL PROGRAMS THAT APPRAISE ELEMENTS AT FIVE, THREE, AND TWO LEVELS ARE INCLUDED IN THE APPENDICES.

WHAT SHOULD YOU AVOID WHEN WRITING RETENTION STANDARDS?

By “retention” standard, we mean the standard that describes the level of performance necessary to be retained in a job (i.e., the standard written for performance one level above the *Unacceptable* level). In appraisal programs that do not have a *Minimally Successful* or equivalent level available for appraising elements, the retention-level standard is the *Fully Successful* standard. Otherwise, the retention standard is the *Minimally Successful* or equivalent standard.

The Merit Systems Protection Board (MSPB) and the courts have issued many decisions on the topic of valid performance standards. This section highlights what the Board deems to be two major errors to avoid when writing standards. In order to avoid reversal by the MSPB, agencies must ensure that “retention” standards:

- | are not impermissibly absolute (i.e., allow for some error)
- | inform the employee of the level of performance needed to retain his or her job

AVOID ABSOLUTE RETENTION STANDARDS

An “absolute” retention standard—one that allows for no errors—is acceptable only in very limited circumstances. When a single failure to perform under a critical element would result in loss of life, injury, breach of national security, or great monetary loss, an agency can legitimately defend its decision to require perfection from its employees. In other circumstances, the MSPB and the courts usually will find that the agency abused its discretion by establishing retention standards that allow for no margin of error.

When writing standards, you should avoid the appearance of requiring perfection at the retention level. In appraisal programs that do not appraise elements at the *Minimally Successful* or equivalent level, you must carefully word the *Fully Successful* or equivalent standards so that they are not absolute. For example here are *Fully Successful* standards used by agencies that the MSPB would consider absolute retention standards if they were used in a two-level appraisal program:

- | Work is timely, efficient, and of acceptable quality
- | Communicates effectively within and outside of the organization

MSPB considers these standards absolute because they appear to require that work is *always* timely, efficient, and of acceptable quality and that the employee *always* communicates effectively. When writing standards—especially retention standards—avoid simply listing tasks without describing the regularity of the occurrence of the task—but also avoid the requirement to do it *always*.

Also, in appraisal programs that appraise elements at levels above *Fully Successful*, the *Fully Successful* standard itself—as well as the *Exceeds Fully Successful* standard when an *Outstanding* or equivalent level is possible—should not be absolute. If it is supposed to be possible to exceed, make sure it is written that way.

To help determine whether you are writing an absolute standard, ask yourself:

- | How many times may the employee fail this requirement and still be acceptable?
- | Does the retention standard use words such as “all,” “never,” and “each”? (These words do not automatically create an absolute standard, but they often alert you to problems.)
- | If the retention standard allows for no errors, would it be valid according to the criteria listed above (risk of death, injury, etc.)?

The examples of elements and standards included in the appendices were carefully written to avoid absolute requirements.

AVOID “BACKWARD” STANDARDS

Case law requires that an employee understand the level of performance needed for retention in the position. When using a *Minimally Successful* level of performance, a common tendency is to describe it in terms of work that does not get done instead of what must be done to meet that retention standard. Describing negative performance actually describes *Unacceptable* performance. Standards such as “fails to meet deadlines” or “performs work inaccurately” allow an employee to do virtually no work or to do it poorly and still meet that retention standard. MSPB considers these “backward” retention standards invalid. To help you determine whether you are writing a backward retention standard, ask:

- | Does the standard express the level of work the supervisor wants to see or does it describe negative performance? (Example of describing negative performance: Requires assistance more than 50 percent of the time.)
- | If the employee did nothing, would he or she meet the standard, as written? (Example: Completes fewer than four products per year.)

MORE EXAMPLE STANDARDS

Example standards for a Retirement Benefits Specialist are shown on the next two pages. These standards were written for elements that are appraised at five levels. The appraisal regulations only require that a *Fully Successful* standard be established for each element. However, to clarify at the outset what employees need to do to exceed the *Fully Successful* level (as well as what they must do to be retained in the position) the Claims Division includes standards for the *Minimally Successful*, *Fully Successful*, and *Exceeds Fully Successful* levels of performance. (Performance below the minimum of the *Minimally Successful* range of performance is considered *Unacceptable*, and performance above the maximum of the *Exceeds Fully Successful* range of performance is *Outstanding*.)

Most of the example standards on the next two pages are quantifiable. The numbers used are based on work flow data. Examples of descriptive standards written at a variety of levels are found in the appendices. In all these examples, distinguishing between *Fully Successful* and levels above or below *Fully Successful* requires careful planning and forethought.

NOTE THAT THE STANDARDS TYPICALLY DESCRIBE A RANGE OF PERFORMANCE. ALSO NOTE THAT THE ELEMENTS HAVE BEEN REARRANGED TO ORDER THE ELEMENTS BY WEIGHT.

example develop standards

RETIREMENT BENEFITS SPECIALIST

ELEMENT	GENERAL MEASURES	SPECIFIC MEASURES	STANDARDS*		
			MINIMALLY SUCCESSFUL	FULLY SUCCESSFUL	EXCEEDS FULLY SUCCESSFUL
<p>Completed <i>claims</i></p> <p> Critical Element</p> <p> 50 priority points</p>	<p>Quality</p> <p>Quantity</p> <p>Timeliness</p>	<p>The accuracy of annuity amounts</p> <p>The completeness of the paperwork</p> <p>The number of claims processed per week</p> <p>The average number of days it takes to process a claim</p>	<p>82-87% of annuity amounts are accurate and of claims are complete</p> <p>10-12 claims processed per week</p> <p>An average of 101-110 days to complete claim</p>	<p>88-93% of annuity amounts are accurate and of claims are complete</p> <p>13-16 claims processed per week</p> <p>An average of 90-100 days to complete claim</p>	<p>94-97% of annuity amounts are accurate and of claims are complete</p> <p>17-20 claims processed per week</p> <p>An average of 75-90 days to complete claim</p>
<p><i>Guidance and technical assistance</i> to other specialists</p> <p> Critical Element</p> <p> 35 priority points</p>	<p>Quality</p> <p>Timeliness</p>	<p>The accuracy of the information, as determined by supervisor</p> <p>The perceptions of other specialists that the incumbent is willing to assist and that feedback is helpful</p> <p>The number of hours it takes for the incumbent to respond to other specialists' requests for assistance</p>	<p>Usually accurate</p> <p>50-59% of specialists agree that incumbent is routinely willing to assist and that feedback is helpful</p> <p>Usually responds within 9-12 working hours from receipt of request</p>	<p>Usually accurate</p> <p>60-80% of specialists agree that incumbent is routinely willing to assist and that feedback is helpful</p> <p>Usually responds within 4-8 working hours from receipt of request</p>	<p>Almost always accurate</p> <p>81-89% of specialists agree that incumbent is routinely willing to assist and that feedback is helpful</p> <p>Usually responds within 2-3 working hours from receipt of request</p>
<p>Claims Division: <i>claims</i> processed in less time and with lower error rates</p> <p> Non-critical Element</p> <p> 15 priority points</p>	<p>Quality</p> <p>Quantity</p> <p>Timeliness</p>	<p>The accuracy rate for annuity amounts from the whole Division</p> <p>The number of claims the Division processes per week</p> <p>The average number of days it takes to process a claim</p>	<p>N/A**</p>	<p>88-93% annuity amounts are accurate</p> <p>220-230 claims processed by the Division per week</p> <p>An average of 90-100 days to complete claim</p>	<p>94-97 % annuity amounts are accurate</p> <p>231-244 claims processed by the Division per week</p> <p>An average of 75-90 days to complete claim</p>

example develop standards

RETIREMENT BENEFITS SPECIALIST, CONTINUED

ELEMENT	GENERAL MEASURES	SPECIFIC MEASURES	STANDARDS*		
			MINIMALLY SUCCESSFUL	FULLY SUCCESSFUL	EXCEEDS FULLY SUCCESSFUL
Suggestion(s) for improving the process (for special individual recognition) Additional Performance Element 0 priority points	Quality	The supervisor's and reviewers' judgment that the suggestion(s) improve(s) efficiency, productivity, and flexibility	N/A**	Management and Division members determine that the suggestion(s) is/are worth adopting	Management and Division members determine that the suggestion(s) is/are worth adopting
	Quantity	The number of suggestions made		Incumbent provides 1-2 adopted suggestions per year	Incumbent provides 3-5 adopted suggestions per year
	Cost Effectiveness	The amount of money saved by adopting the suggestion		The incumbent's suggestion saved up to 10% of costs	The incumbent's suggestion saved 10-25% of costs
Claims Division: Increased number of employees who can process claims Additional Performance Element 0 priority points	Quantity	The number of employees who can do claims		35- 50% of Division employees can process claims	51-75% of Division employees can process claims
	Quality	The accuracy rate of annuities processed		88-93% of annuity amounts are accurate	94-97% of annuity amounts are accurate

*To meet the performance level of the standards described for each element, each listed part of the standard must be present or occur.

**The Division decided that there was no benefit to establishing a *Minimally Successful* standard for a non-critical or an additional performance element.

If these standards had been written for an appraisal program that appraises elements at only two levels, only the *Fully Successful* standard would have been included and it would describe a single point, not a range. So, for example, on the first element (i.e., completed case files) instead of establishing an 88-93 percent accuracy rate, etc., as the *Fully Successful* standard, the standard would be:

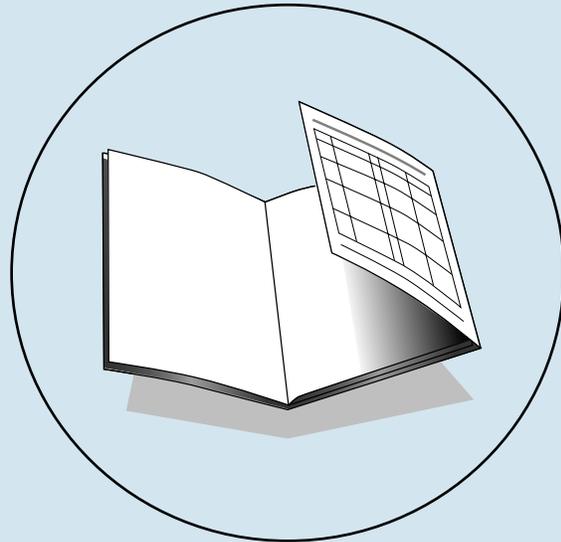
- | 88% accuracy or better
- | at least 13 cases processed per week;
- | takes an average of 100 days to complete case

Another point of interest in the example is that the elements and standards written for the Division were included in each Division employee's performance plan as group elements and standards.

EXERCISE FOR WRITING STANDARDS

Based on the elements and measures you established in the previous exercise on page 51, develop *Fully Successful* standards for your elements. Write those standards under the column labeled “Standards” on the foldout form on the back cover. Remember to write standards that specifically match the measurement levels of your appraisal program (i.e., two-level or more than two-level). This exercise is asking you to develop only the *Fully Successful* standard. However, if your appraisal program appraises elements at more than two levels, you may also want to define the other levels of performance that are possible.

FOLD OVER INSIDE BACK COVER FLAP AS SHOWN TO FILL OUT CHART



step 7: determine how to monitor performance

step 7

DEVELOPING EMPLOYEE PERFORMANCE PLANS

Monitoring performance means measuring performance and providing feedback to employees. Agency appraisal programs are required to provide ongoing appraisal, which includes, but is not limited to, conducting one or more progress reviews during each appraisal period. In addition to a once- or twice-a-year progress review, which is sometimes a formal part of the appraisal process, supervisors and employees should discuss performance informally and often.

Determining how to monitor performance is an important step in developing performance plans. You may have worked through the previous six steps of the process presented in this handbook, developed what you thought were great elements and standards, and then found that monitoring performance on an element is impossible, or too costly, or too time-consuming. If this happens, think through other specific measures that indicate performance—measures that are as specific as possible.

To complete this step in the process:

- | Determine what data to collect for each performance element, the source of the data, and whether to collect all the data or just a sample
- | Determine when to collect the data, who will collect it, and who will receive it
- | Review existing reports for possible use as feedback reports
- | Create feedback tables or graphs where necessary or applicable
- | Try to design feedback processes that give feedback automatically

FEEDBACK

Effective and timely feedback addressing employee performance on elements and standards is an essential component of a successful performance management program. People need to know in a timely manner how they are doing, what is working, and what is not working.

Feedback can come from many different sources: managers and supervisors, measurement systems, peers, and customers, just to name a few. Using multiple sources of feedback, which is sometimes called 360-degree assessment or multirater appraisal, is done in a variety of ways, but most methods are computerized and the raters are anonymous. Whether you need or want to use multirater appraisal depends on what you want to measure. For example, if you want to measure customer satisfaction, the best way to get the information is to ask the customer directly. (If customer survey tools are not available, or they are too expensive to develop, you may have to rely on other feedback sources, such as the number of complaints received.)

However feedback occurs, certain factors ensure its effectiveness:

SPECIFICITY Feedback works best when it relates to a specific goal, such as those established in elements and standards. Basing feedback on the employee's performance against his or her elements and standards is key to providing tangible, objective, and powerful feedback. Telling employees that they are doing well because they exceeded their goal by 10 percent is more effective than simply saying "you're doing a good job."

TIMELINESS Employees should receive information about how they are doing in as timely a fashion as possible. If they need to improve their performance, the sooner they find out about it, the sooner they can correct the problem. If employees have reached or exceeded a goal, the sooner they receive positive feedback, the more rewarding it is to them.

MANNER Give feedback in a manner that will best help improve performance. Since people respond better to information presented in a positive way, express feedback in a positive manner. This is not to say that information should be sugar-coated. Present accurate, factual, and complete feedback; it is more effective when it reinforces what the employee did right and then identifies what the employee needs to do in the future. Constant criticism eventually falls on deaf ears.

NATURALLY OCCURRING FEEDBACK Some kinds of feedback occur naturally while other kinds require careful planning and management. Naturally occurring feedback can be classified into two categories. The first type is self-evident feedback—information that employees can see for themselves as they do their work. For instance, a team of materials handlers who are given the assignment of moving ten stacks of supplies from one side of the warehouse to the other by the end of the day will know that if only one of ten stacks is moved by noon, it is not likely to complete the assignment on time. This information is self-evident and is obtained by the employees making their own comparisons against a specific goal.

Another kind of self-evident feedback can be gained by having a broader scope of work. The broader the employee's scope of work, the better the employee can determine the quality of the finished product. For example, a writer/editor assigned to write a portion of an article may feel satisfied with the section he wrote. But the same writer/editor, if assigned responsibility for the entire article, would see that his independently written section had no relation to the rest of the article and needed revision.

The second category of naturally occurring feedback is carefully planned feedback characterized by automatic, frequent delivery through a measurement system. It is possible to design feedback into a work process or a measurement system so that employees receive it automatically. For example, feedback loops designed into many work processes provide performance measures daily, such as a production or printing process (i.e., number of copies printed per day as determined by machine count). Also, total quality and reengineering programs use extensive work process measurement methods. Employees measure for themselves how they and their team are doing.

Designing effective feedback into a performance management program will improve individual and team performance and will make your organization more effective. With effective feedback processes, employees can see their progress and that motivates them to reach their performance goals successfully.

example feedback sources

RETIREMENT BENEFITS SPECIALIST

ELEMENT	GENERAL MEASURES	SPECIFIC MEASURES	STANDARDS*			FEEDBACK SOURCE FOR MONITORING
			MINIMALLY SUCCESSFUL	FULLY SUCCESSFUL	EXCEEDS FULLY SUCCESSFUL	
<p>Completed <i>claims</i></p> <p> Critical Element</p> <p> 50 priority points</p>	Quality	The accuracy of annuity amounts. The completeness of the paperwork	82-87% of annuity amounts are accurate and of claims are complete	88-93% of annuity amounts are accurate and of claims are complete	94-97 % of annuity amounts are accurate and of claims are complete	Data from automated system
	Quantity	The number of claims processed per week	10-12 claims processed per week	13-16 claims processed per week	17-20 claims processed per week	Data from automated system
	Timeliness	The average number of days it takes to process a claim	An average of 101-110 days to complete claim	An average of 90-100 days to complete claim	An average of 75-90 days to complete claim	Data from automated system
<p><i>Guidance and technical assistance</i> to other specialists</p> <p> Critical Element</p> <p> 35 priority points</p>	Quality	<p>The accuracy of the information, as determined by supervisor</p> <p>The perceptions of other specialists that the incumbent is willing to assist and that feedback is helpful</p>	Usually accurate	Usually accurate	Almost always accurate	Random supervisor observation and 360-degree tool
	Timeliness	The number of hours it takes for the incumbent to respond to other specialists' requests for assistance	Usually responds within 9-12 working hours from receipt of request	Usually responds within 4-8 working hours from receipt of request	Usually responds within 2-3 working hours from receipt of request	360-degree tool
<p>Claims Division: Division <i>claims</i> processed in less time and with lower error rates</p> <p> Non-Critical Element</p> <p> 15 priority points</p>	Quality	The accuracy rate of annuity amounts for the whole Division	N/A**	88-93% annuity amounts are accurate	94-97 % annuity amounts are accurate	Data from automated system
	Quantity	The number of claims the Division processes per week		220-230 claims processed by Division per week	231-244 claims processed by Division per week	Data from automated system
	Timeliness	The average number of days it takes to process a claim		An average of 90-100 days to complete claim	An average of 75-90 days to complete claim	Data from automated system

example feedback sources

ELEMENT	GENERAL MEASURES	SPECIFIC MEASURES	STANDARDS*			FEEDBACK SOURCE FOR MONITORING
			MINIMALLY SUCCESSFUL	FULLY SUCCESSFUL	EXCEEDS FULLY SUCCESSFUL	
Suggestion(s) for improving the process (for special individual recognition) Additional Performance Element 0 priority points	Quality	The supervisor's and reviewers' judgment that the suggestion(s) improve(s) efficiency, productivity, flexibility, and/or usability	N/A**	Management and Division members determine that the suggestion(s) is/are worth adopting	Management and Division members determine that the suggestion(s) is/are worth adopting	Supervisor and Branch members' judgment
	Quantity	The number of suggestions made		Incumbent provides 1-2 adopted suggestions per year	Incumbent provides 3-5 adopted suggestions per year.	Supervisor tracks
	Cost Effectiveness	The amount of money saved by adopting the suggestion.		The incumbent's suggestions saved up to 10% of costs	The incumbent's suggestions saved up to 10-25% of costs	Data from automated system
Claims Division: Increased number of employees who can process claims Additional Performance Element 0 priority points	Quantity	The number of employees who can do claims	N/A**	35-50% of Division employees can process claims	51-75% of Division employees can process claims	Supervisor observation
	Quality	The accuracy rate of annuities processed		88-93% of annuity amounts are accurate	94-97% of annuity amounts are accurate	Data from automated system

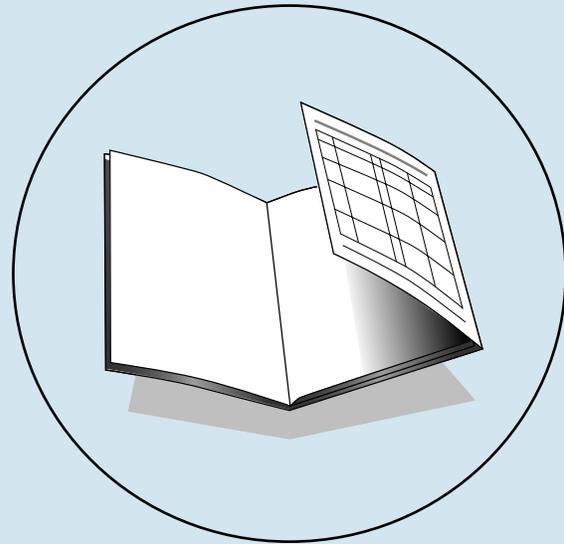
*To meet the performance level of the standards described for each element, each listed part of the standard must be present or occur.

**The Division decided that there was no benefit to establishing a *Minimally Successful* standard for a non-critical or an additional performance element.

EXERCISE ON DEFINING FEEDBACK SOURCES

Now that you have developed elements, measures, and standards in previous exercises, what are the best sources of feedback for those elements? How often is it feasible to receive feedback? Who needs to see the feedback? Write down those sources of feedback under the column labeled “Feedback Source” on the foldout form on the back cover.

FOLD OVER INSIDE BACK COVER FLAP AS SHOWN TO FILL OUT CHART



step 8: check the performance plan

step 8

DEVELOPING EMPLOYEE PERFORMANCE PLANS

Once you have developed a performance plan using the previous seven steps, checking your work is always a good idea. Use the checklist below to ensure that the elements and standards you developed to include in the performance plan are effective and meet regulatory requirements:

- | Are the critical elements truly critical? Does failure on the critical element mean that the employee's overall performance is unacceptable?
- | Is the range of acceptable performance clear? Are the performance expectations quantifiable, observable, and/or verifiable?
- | Are the standards attainable? Are expectations reasonable?
- | Are the standards challenging? Does the work unit or employee need to exert a reasonable amount of effort to reach the fully successful performance level?
- | Are the standards fair? Are they comparable to expectations for other employees in similar positions? Do they allow for some margin of error?
- | Are the standards applicable? Can the appraiser(s) use the standards to appraise performance? Can the appraiser(s) manage the data collected through the measurement process?
- | Will work units and employees understand what is required?
- | Are the elements and standards flexible? Can they be adapted readily to changes in resources or objectives?
- | If your program permits appraising elements at levels above the *Fully Successful* or equivalent level, is the *Fully Successful* or equivalent standard surpassable? Is it possible for a work unit's or an employee's performance to exceed it?

Guiding Principles for Performance Measurement

The principles listed below contain some valuable lessons learned about measuring performance.

VIEW PERFORMANCE MEASUREMENT AS A VALUABLE TOOL, NOT AS AN EVIL

People view measurement systems from at least two different perspectives. When used constructively, they see a measurement system as a helpful feedback tool that provides information to managers and employees about how well they are doing in reaching their goals and where they might have room for improvement. It also provides information on which to base awards and recognition. When used poorly, however, people see a measurement system as a punishing club with which to hit people over the head if the numbers or results are bad. Managers and employees must trust that the measurement system is beneficial to them and the organization; otherwise, the temptation to game the numbers to avoid discipline will overwhelm them.

ACCEPTANCE OF THE PERFORMANCE MEASUREMENT PROCESS IS ESSENTIAL TO ITS SUCCESS

Involving employees in the development of the elements and standards included in the performance plan is an excellent way to clarify expectations and measurement terminology. Active employee participation in creating valid measures that accurately reflect performance decreases the possibility that employees may feel manipulated through the measurement system.

MEASURE WHAT IS IMPORTANT—NOT WHAT IS EASY TO MEASURE It is easy to count the number of days since a project began, but if that is all that you measure, is that enough information to assess performance? No, probably not. Or if, for example, a customer service team only measures the number of calls that come into the team (the easy measure) and does not attempt to measure customer satisfaction with its service (the more difficult measure), the team does not have complete information about its performance and has no idea how well it is serving its customers. In addition, because what gets measured gets done, the team will probably focus on how it can increase the number of calls it receives and ignore the quality of service it provides.

As a result, organizations need to anticipate the behavioral and unintended consequences of measuring performance. As an example, recently a medical laboratory came under fire because of the errors it made in certain of its cancer tests. A high number of cancer tests that the laboratory had approved as negative turned out to be wrong—cancer had actually been

evident. An investigation found that the laboratory had been measuring and rewarding its employees on the number of slides they reviewed daily, not on the accuracy of the reviews. Knowing that the more slides they reviewed, the more recognition they received, employees were quickly moving from slide to slide to slide without accurately reading them. As a result, the lab's errors in measuring what was important allowed cancer to go untreated and people who could have been saved through early detection and treatment lost their lives.

DEVELOP EMPLOYEE PERFORMANCE PLANS THAT ARE FLEXIBLE ENOUGH TO ALLOW FOR CHANGES IN PROGRAM GOALS TO KEEP THE PROCESS CREDIBLE Do not design performance plans that are set in concrete; build in flexibility so you can adjust them as program goals and work assignments change. Even though employees must work at least a minimum period of time on elements and standards before they receive performance ratings, the agency minimum appraisal period usually provides enough time during the appraisal period for changes in elements and standards. (Minimum appraisal periods usually range from 30-120 days, depending on the agency. Check with your agency to find out the minimum appraisal period that applies to you.)

RELY ON MULTIPLE MEASURES Don't rely on a single measure. Remember the story of the three blind men who went for a walk and came across an elephant? One felt the animal's trunk and claimed that the elephant was like a large snake. Another explored the elephant's leg and claimed that the elephant was like a big tree trunk. The third blind man touched the elephant's side and said that the elephant was like a tall, wide wall. All three of them were right, but all of them were wrong. Each one was relying on only one measure from one perspective. If the measures had been used together, the three men would have had a more accurate picture of the elephant.

EMPLOYEES SHOULD PERCEIVE THAT PERFORMANCE MEASUREMENT IS IMPORTANT In many organizations, employees have been exposed to a variety of management fads that seem to appear and then fade away as the next fad takes its place. Employees need to know that management is serious and committed to measuring and improving performance.

MANAGEMENT SHOULD DEMONSTRATE THAT PERFORMANCE IS CRITICAL TO ORGANIZATIONAL AND INDIVIDUAL SUCCESS Closely related to the previous principle, this principle observes that not only should employees perceive that performance measurement is important, but also management must demonstrate that performance matters. When management tolerated poor performance in the past and employees see that the new measurement system has not changed the situation (in other words, Joe or Mary still comes to work and reads the paper for most of the day), employees know that performance is not important, despite the new system.

chapter 4

LEARNING AIDS

Performance Measurement Quiz

Circle the correct answer(s).

1. Circle the accomplishments listed below:
 - a. A completed, accurate report
 - b. Types reports and correspondence
 - c. Teamwork
 - d. Guidance and technical assistance
 - e. Satisfied customers
 - f. Answers phones
2. Non-critical elements have to be weighted less than critical elements.
 - a. True
 - b. False
3. Standards should be written in terms of specific measures.
 - a. True
 - b. False
4. Which of the following is/are NOT regulatory requirements for critical elements?
 - a. Each employee must have a minimum of one critical element
 - b. Critical elements must measure individual performance
 - c. Critical elements generally can be used to measure team-level performance
 - d. Critical elements must have an established standard at least at a *Fully Successful* level
 - e. Critical elements must be given greater weight than non-critical elements in deriving a summary level rating
5. Which of the following statement(s) is/are true about feedback?
 - a. Peers can be included as sources of input for appraisals
 - b. Feedback should be specific
 - c. Whether to use 360-degree feedback depends on what you're measuring
 - d. Feedback should be timely
 - e. Feedback should be given in a manner that will best help improve performance
 - f. All of the above are true

chapter 4

6. Performance plans must be built from the employee's position description.
 - a. True
 - b. False
7. You can't measure results at the individual level.
 - a. True
 - b. False
8. The four general measures for measuring employee and work unit performance are cost-effectiveness, quantity, timeliness, and:
 - a. Flexibility
 - b. Quality
 - c. Agency strategy
 - d. Teamwork
9. Absolute standards can never be used.
 - a. True
 - b. False
10. A *Fully Successful* standard is a retention standard when (circle one or more):
 - a. The standard is used in a Pass/Fail program with critical elements appraised at only two levels
 - b. When there is no *Minimally Successful* level available in the appraisal program
 - c. None of the above.
11. Measurement should be used for performance improvement.
 - a. True
 - b. False

ANSWERS ON PAGE 88

Quick Reference: The Eight-Step Process

STEP 1 LOOK AT THE OVERALL PICTURE

Review organizational goals and objectives and performance measures already available.
Determine which goals and measures the employee's work unit can affect.

STEP 2 DETERMINE WORK UNIT ACCOMPLISHMENTS USING ANY OR ALL OF THE FOLLOWING METHODS:**METHOD A A GOAL CASCADING METHOD**

Cascade the agency's goals to the work unit level. Determine the work unit's accomplishment(s) that directly affect the organization's goals.

METHOD B A CUSTOMER-FOCUSED METHOD

Determine the product(s) or service(s) that the work unit provides to its customers.

METHOD C A WORK FLOW CHARTING METHOD

Develop a work flow chart for the work unit, establishing key steps(s) in the work process.

STEP 3 DETERMINE INDIVIDUAL ACCOMPLISHMENTS THAT SUPPORT WORK UNIT GOALS

Elements that address individual performance can be identified using a role-results matrix. List the work unit accomplishments across the top of the matrix. List each member of the work unit or each job position down the left side of the matrix. In each cell, list the accomplishment (i.e., performance element) that the member must produce or perform to support the work unit accomplishment. All performance elements should be either quantifiable or verifiable.

STEP 4 CONVERT EXPECTED ACCOMPLISHMENTS INTO PERFORMANCE ELEMENTS, INDICATING TYPE AND PRIORITY

All employees must have at least one critical element. Critical elements must address individual performance only. Work unit performance can be addressed through non-critical or additional elements. In appraisal programs with only two summary levels, work unit performance can be addressed only through additional performance elements.

STEP 5 DETERMINE WORK UNIT AND INDIVIDUAL MEASURES

For each element, determine which general measure(s) (i.e., quantity, quality, timeliness, or cost-effectiveness) are important. Determine how to measure the quantity, quality, timeliness, and/or cost-effectiveness for the element. If an accomplishment can be measured with numbers, determine the unit of measurement to be used. If performance can only be described (i.e., observed and verified), clarify who would appraise the work and what factors they would look for.

STEP 6 DEVELOP WORK UNIT AND INDIVIDUAL STANDARDS

A *Fully Successful* or equivalent standard must be established for each critical element. If the measure for the element is numeric, determine the range of numbers that would represent *Fully Successful* performance. For critical elements appraised at two levels, the *Fully Successful* standard identifies the level of performance below which performance is *Unacceptable*. For critical elements appraised at more than two levels, establish a range of performance above which special recognition may be warranted and below which a performance problem exists.

If the measure for the element is descriptive, determine what the appraiser would see or report that would verify that performance is *Fully Successful*. For critical elements appraised at two levels, describe performance for that element below which is *Unacceptable* performance. For elements appraised at more than two levels, and for elements for which stretch goals are desired, determine what exceeding expectations would look like. Describe what the appraiser would see happening when expectations are exceeded.

STEP 7 DETERMINE HOW TO MONITOR PERFORMANCE

Determine what data to collect for each performance element, which source the data should come from, and whether to collect all the data or just a sample. Determine when to collect the data, who should collect it, and who should receive it. Review existing reports for possible use as feedback reports. Create feedback tables or graphs where appropriate or necessary. Try to design feedback processes that give employees feedback automatically.

STEP 8**CHECK THE PERFORMANCE PLAN USING THE FOLLOWING GUIDELINES:**

- | Are the critical elements truly critical? Does failure on the critical element mean that the employee's overall performance is unacceptable?
- | Is the range of acceptable performance clear? Are the performance expectations quantifiable, observable, and/or verifiable?
- | Are the standards attainable? Are expectations reasonable?
- | Are the standards challenging? Does the work unit or employee need to exert a reasonable amount of effort to reach a fully successful performance level?
- | Are the standards fair? Are they comparable to expectations for other employees in similar positions? Do they allow for some margin of error?
- | Are the standards applicable? Can the appraiser(s) use the standards to appraise performance? Can the appraiser(s) manage the data collected through the measurement process?
- | Will work units and employees understand what is required?
- | Are the elements and standards flexible? Can they be adapted readily to changes in resources or objectives?
- | If your program permits appraising elements at levels above the *Fully Successful* or equivalent level, is the *Fully Successful* or equivalent standard surpassable? Is it possible for a work unit's or an employee's performance to exceed it?



Five-Level Appraisal–Examples

THE FOLLOWING EXAMPLES OF ELEMENTS AND STANDARDS WERE WRITTEN SPECIFICALLY FOR APPRAISAL PROGRAMS THAT APPRAISE PERFORMANCE ON ELEMENTS AT FIVE LEVELS.

HUMAN RESOURCES ASSISTANT

ELEMENT	STANDARDS*
<p>CUSTOMER SATISFACTION</p>	<p>FULLY SUCCESSFUL STANDARD (To meet this standard, the employee must meet all of the following requirements).</p> <p>As determined by the supervisor through direct observation and/or discussions with several customers and/or peers:</p> <ul style="list-style-type: none"> Usually communicates clearly, courteously, and effectively with customers Routinely responds to each customer request with the most accurate and complete information available. If the information to a telephone call can not be provided immediately upon request, usually provides an answer within 3 working days of receipt of call. Email responses are usually answered within 5 working days. Formal written correspondence is produced within agencywide standards (usually 10 working days) Generally mails requested information within 3 working days of receipt of request Whenever possible, elicits customer feedback to improve service If the employee cannot answer a customer’s question completely, he/she generally provides name and phone number for the proper contact. If the question requires additional research, keeps the customer apprised of progress If requested material is temporarily unavailable to mail to customers, usually notifies the customers when they may expect to receive it <p>OUTSTANDING STANDARD Exceeds the <i>Fully Successful</i> standard plus two of the following occur:</p> <ul style="list-style-type: none"> Receives praise and/or written commendations from customers On own initiative, assumes and accomplishes a significant amount of work beyond the normal load of assigned duties to achieve customer satisfaction Proactively communicates with customers to establish good working relationship and assess customer needs Consistently demonstrates in-depth knowledge of customer programs <p>MINIMALLY SUCCESSFUL STANDARD The employee meets the first two requirements listed for <i>Fully Successful</i> and of the four remaining requirements, meets all but number(s) <u>4 & 6</u>.</p>

Note: We have purposely listed the Minimally Successful standard last to emphasize performance that is Fully Successful and higher more than performance that is less than Fully Successful.

*The standards include measures that can be tracked without using a customer survey. *Exceeds Fully Successful* falls between the performance described for *Fully Successful* and that described for *Outstanding*. *Unacceptable* performance falls below the minimum of *Minimally Successful*.

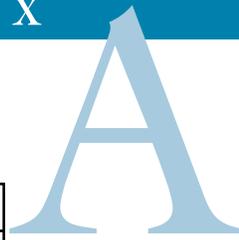


HUMAN RESOURCES SPECIALIST

ELEMENT	STANDARDS*
<p>HR POLICY PRODUCTS (e.g., written guidance, reports, overviews, workshops, formal presentations)</p>	<p>FULLY SUCCESSFUL STANDARD (To meet this standard, the employee must meet all of the following requirements.)</p> <p>QUALITY</p> <ul style="list-style-type: none"> Written products generally follow plain English principles, including logical organization, descriptive section headings, simple terms, and good use of tables, lists, graphics, and white space Assigned presentations and workshops are generally well-organized with a logical flow, a use of simple terms, and graphics that illustrate concepts to help audience understanding. The overall audience rating of any presentation given is at least acceptable Products usually reflect sound analytical thinking and present recommendations consistent with sound HR principles and supportive of Administration initiatives <p>QUANTITY</p> <ul style="list-style-type: none"> Produces (or does significant work for) <ol style="list-style-type: none"> a) at least one major product (e.g., a workshop; a complex paper or report, often over 10 pages long) b) at least three intermediate-in-scope products (e.g., topic papers 3-10 pages long) c) at least five minor products (e.g., articles or 1-2 page papers) d) a combination of these (To meet the definition of “produces,” the report or paper at least must be cleared by the Division Chief.) <p>TIMELINESS</p> <ul style="list-style-type: none"> Draft written products are usually completed and submitted for review by the date agreed to at initial assignment. Revisions are usually done and returned within the agreed-upon time frame <p>OUTSTANDING STANDARD</p> <ul style="list-style-type: none"> Produces more than two major products, more than five intermediate-in-scope products, more than eight minor products, OR a combination of these Exceeds the quality and timeliness criteria Plus meets at least three of the following: <ol style="list-style-type: none"> a) On own initiative, proposes the subject of the product b) Completes extensive research to complete the product c) Develops applicable, understandable models and examples d) Synthesizes complex issues and condenses and explains them so that they are understandable to a general audience e) Product content provides leadership in the program, fits the HR policy into the big picture of management, links HR policy to organizational goals, and/or highlights the links of HR policy with other management functions f) Develops original understandable graphics that illustrate the concept being presented <p>MINIMALLY SUCCESSFUL STANDARD The employee accomplishes the work described at the <i>Fully Successful</i> level except that intermediate and minor products of a routine nature are produced with moderate but not excessive rework.</p>

Note: We have purposely listed the Minimally Successful standard last to emphasize performance that is Fully Successful and higher more than performance that is less than Fully Successful.

**Exceeds Fully Successful falls between the performance described for Fully Successful and that described for Outstanding. Unacceptable falls below Minimally Successful.*



MEDICAL RECORDS TECHNICIAN

ELEMENT	STANDARDS*
<p>MEDICAL RECORDS that include accurately filed documentation</p>	<p>FULLY SUCCESSFUL STANDARD (To meet this standard, the employee must meet all of the following requirements.) As determined by the supervisor and from doctor/clinic feedback:</p> <p>QUALITY</p> <ul style="list-style-type: none"> Paperwork is usually filed according to hospital documentation regulations, with only a few errors or complaints With few exceptions, paperwork is date stamped the same day it arrives in the Medical Records Section The employee can usually locate records, whether they are in their filing shelves or checked out to doctors/clinics With few exceptions, medical records requested by a doctor/clinic/emergency room contain the paperwork received by the Medical Records Section within the last 3 working days, with contents usually filed accurately <p>QUANTITY</p> <ul style="list-style-type: none"> The backlog of paperwork to be filed usually does not exceed the amount received within the last 3 working days <p>TIMELINESS</p> <ul style="list-style-type: none"> Medical records are usually supplied to requestors by the time requested. In emergency situations, medical records are supplied consistently within an hour of request <p>OUTSTANDING STANDARD The employee exceeds the <i>Fully Successful</i> standard plus meets all of the following:</p> <ul style="list-style-type: none"> On own initiative, systematically reviews assigned files to ensure accuracy of paperwork placement in the file Very few records are more than three inches thick (i.e., overly thick files have been split into additional volumes) Voluntarily conducts systematic searches for missing paperwork or records, including verifying checkout cards At least one of the employee’s suggestions for improvements in the filing process or to records management is adopted Most medical record jackets are in good condition (i.e., torn or worn jackets have been replaced, as supplies allow) <p>MINIMALLY SUCCESSFUL STANDARD To meet this standard, the employee completes the requirements of the <i>Fully Successful</i> standard except that the backlog often exceeds 3 days but usually does not exceed 4 days and the <u>third</u> quality requirement is not met.</p>

Note: We have purposely listed the Minimally Successful standard last to emphasize performance that is Fully Successful and higher more than performance that is less than Fully Successful.

*Exceeds Fully Successful falls between the performance described for Fully Successful and that described for Outstanding. Unacceptable falls below Minimally Successful.

HUMAN RESOURCES SPECIALIST (EMPLOYEE RELATIONS)

ELEMENT	STANDARDS*
<p>TECHNICAL INFORMATION, ADVICE, AND ASSISTANCE</p>	<p>FULLY SUCCESSFUL STANDARD</p> <ul style="list-style-type: none"> Provides timely and reliable technical advice and assistance to agency and other officials on employee relations and appellate matters. Advice is based on good knowledge and proper application of regulation, precedent cases, and relationships among human resources programs. Discusses advantages, disadvantages, and feasible options in connection with issues and problems presented. Coordinates with other agency offices, as appropriate. Brings unique or potentially difficult issues and problems to the attention of the supervisor with options and recommendations for further action Gains useful feedback from agencies and other organizations within the agency on the impact of policies and processes under the employee relations program. Provides suggestions on how best to use information and insights to improve employee relations programs and procedures Thoroughly reviews and provides timely comments on materials presented for review by other offices. Comments take into account applicable regulations, case law, and policy objectives in the areas of employee relations and appellate policies. Training and briefings provided to employees are well conceived, effectively presented, and well received <p>OUTSTANDING STANDARD:</p> <ul style="list-style-type: none"> Is uncommonly effective in dealing with officials who present difficult issues and problems for resolution. Options and recommended solutions are creative, pertinent, and demonstrate an in-depth understanding of the issues. Where appropriate, recites successful practices and programs in other agencies. Displays deep knowledge of HRM policies, precedent cases, agency needs, and the likely impact on management and employees of solution proposed Based on knowledge and insights, is able to propose significant changes to policies and procedures which hold the potential for improvement In reviewing the products of other organizations, is able to point out major issues or problems not otherwise foreseen or to make suggestions for significant improvement as warranted Is able to cause major changes in policies to be considered, where appropriate, through the persuasiveness and thoroughness of written comments and/or informal meetings Review and commentary is timely, even in the event of competing priorities and large workload <p>MINIMALLY SUCCESSFUL STANDARD:</p> <ul style="list-style-type: none"> Answers to questions about employee relations policies are usually accurate and provided in a timely manner Regularly gains useful feedback from organizations on agency policies and programs in employee relations. Occasionally surfaces feedback in a manner that is useful to management As requested, furnishes comments to other offices on proposed policy materials, training courses, and legislation. Comments point out technical inaccuracies or inconsistency with established policy

Note: We have purposely listed the Minimally Successful standard last to emphasize performance that is Fully Successful and higher more than performance that is less than Fully Successful.

**Exceeds Fully Successful falls between the performance described for Fully Successful and that described for Outstanding. Unacceptable falls below Minimally Successful. This example does not include a Minimally Successful standard.*



ATTORNEY ADVISOR

ELEMENT	STANDARDS*
<p>WRITTEN MATERIALS (e.g., legal memoranda, briefs, and pleadings)</p>	<p>FULLY SUCCESSFUL STANDARD (must meet all of the following)</p> <p>QUALITY</p> <p>As determined by the supervisor, written materials</p> <ul style="list-style-type: none"> Are generally considered to be of average professional quality Are infrequently returned for substantial revision Usually fully analyze relevant legal and policy issues Usually reflect thorough investigation of factual and legal resources Usually do not contain significant extraneous or inappropriate material <p>QUANTITY</p> <ul style="list-style-type: none"> In most instances, written materials are developed as needed <p>TIMELINESS</p> <ul style="list-style-type: none"> Written materials are generally completed and presented in accordance with established deadlines or time frames <p>OUTSTANDING STANDARD (must meet all of the following)</p> <p>Written materials:</p> <ul style="list-style-type: none"> Are routinely considered to be of highest professional quality Are rarely returned for substantial revision Consistently fully analyze relevant legal and policy issues Reflect thorough investigation of factual and legal resources Do not contain significant extraneous or inappropriate material Are completed before established deadlines or time frames Are always completed as needed

*Exceeds Fully Successful falls between the performance described for Fully Successful and that described for Outstanding. Unacceptable falls below Minimally Successful. This example does not include a Minimally Successful standard.

NOTE: We have purposely left out a Minimally Successful standard in this example to emphasize performance that is Fully Successful and higher. In the event that an employee's performance fell below the Fully Successful level, a Minimally Successful standard would be established and communicated.

B

Three-Level Appraisal–Examples

THE FOLLOWING EXAMPLES OF ELEMENTS AND STANDARDS WERE WRITTEN SPECIFICALLY FOR APPRAISAL PROGRAMS THAT APPRAISE PERFORMANCE ON ELEMENTS AT THREE LEVELS.

TEAM LEADER, PACKAGING PRODUCTION TEAM

ELEMENT	FULLY SUCCESSFUL STANDARD* (To meet the <i>Fully Successful</i> standard for an element, all of the bullets listed for the element must be met.)
Quality products	<ul style="list-style-type: none"> Usually 90% to 95% of pallets have no defects With few exceptions, no more than 1.5 to 2 hours of down time per week Normally, the packaging production schedule is met 5 out of 7 days Normally, the shipment schedule is met 5 out of 7 days
Safe work environment	<ul style="list-style-type: none"> Safety problems are corrected or improvements usually are made by agreed-on date Routinely holds one safety audit per week Very rarely has any lost time hours
Effective leadership	<ul style="list-style-type: none"> Team goals are met 60-80% of the time Manager judges that the team leader periodically initiates ways to reduce costs Manager judges that decisions are well thought out and support organizational goals.
Productive subordinates	<p>Manager is generally satisfied that:</p> <ul style="list-style-type: none"> Training requirements of the team are met Discipline is provided fairly and consistently Most team members understand the department’s goals and how their performance affects these goals Team members understand how they’re performing against their goals Team members receive rewards for good performance

*To achieve the *Outstanding* level, the employee must consistently exceed a majority of the bullets listed for the *Fully Successful* standard. *Unacceptable* performance occurs when the employee fails to meet one or more of the bullets listed for *Fully Successful* performance.

PROGRAM ANALYST

ELEMENT: ORAL PRESENTATIONS
STANDARDS* (To meet a standard, all of the statements listed for the standard must be met.)
<p>OUTSTANDING STANDARD</p> <p>When attendee evaluations are available:</p> <ul style="list-style-type: none"> Sixty to eighty-four percent of attendees rated the employee’s presentation good or very good. <p>When attendee evaluations are not available, the supervisor determines that the employee:</p> <ul style="list-style-type: none"> Presents information in a clear, concise, and well-organized manner Responds well to questions, including unanticipated ones Creates a favorable impression for effective communication by seeking the views of others and respecting different points of view Asks probing questions to ensure that everyone understands the matters discussed Clearly distinguishes between fact and opinion and avoids disclosing sensitive or tentative information prematurely Listens well, responds appropriately and articulately, and remains calm in adverse situations Knows when and how to use visual aids, speaks authoritatively on subject matter , and displays ability to respond directly to questions raised Encourages active participation by others Senses audience’s receptivity to presentation and adjusts accordingly Shows thorough knowledge of issues and their relationship to broader issues Presents technical information clearly and persuasively, demonstrating the importance and relevancy of planning. <p>FULLY SUCCESSFUL STANDARD</p> <p>When attendee evaluations are available:</p> <ul style="list-style-type: none"> More than 60-84% of attendees rated the employee's presentation good or very good <p>When attendee evaluations are not available, the supervisor determines that the employee:</p> <ul style="list-style-type: none"> Usually presents information clearly, concisely, and in a well-organized manner Routinely shows respect for comments of participants Generally keeps discussion on track Usually elicits comments of others Generally weighs consequences of statements before speaking, clearly distinguishing between fact and opinion, and avoids disclosing sensitive or tentative information prematurely Usually listens well, responds to issues at hand, and minimizes extraneous information Usually answers most questions and invites additional questions to ensure understanding

*Unacceptable performance occurs when the employee fails to meet one or more of the bullets listed for *Fully Successful* performance.

GRAPHICS DESIGNER

ELEMENT: GRAPHIC DESIGNS

STANDARD

OUTSTANDING STANDARD

In addition to meeting all criteria of the *Fully Successful* standard, the supervisor determines that the employee meets at least four of the following:

- | Designs are often of such high quality that they generate spontaneous praise from clients
- | The elegance of designs often enhances their purpose in unexpected ways
- | Designs consistently reflect the highest professional standards and raise the standards for other agency designers
- | The most complex design tasks are handled with little or no difficulty
- | Suggestions are made that improve the agency's design processes
- | Potential problems are anticipated, brought to the supervisor's attention as appropriate, and usually solved independently

FULLY SUCCESSFUL STANDARD

To meet this standard, all of the following must be met:

The supervisor determines that:

- | The quality of information-material design is usually acceptable to the client and sufficient to achieve the purposes intended
- | In most cases, designs are in accordance with the agency's graphic standards system and meet commonly accepted criteria for professional work
- | Logical planning, due consideration of priorities, and efficient application of technical graphics skills usually result in creation of graphic designs in time to meet reasonable deadlines
- | Generally nonwasteful work habits reflect a consideration of costs to the Government
- | Instructions from supervisors are most often followed as given, major revisions are rarely necessary, and routine problems are usually resolved with a minimum of supervision

TRAINING COORDINATOR

ELEMENT	FULLY SUCCESSFUL STANDARD* (To meet the <i>Fully Successful</i> standard for an element, all of the bullets listed for the element must be met.)
CERTIFIED PROGRAMMERS	<p>Most of the supervisors of certified programmers say that the trained programmer(s):</p> <ul style="list-style-type: none"> Could handle their assignments right away Didn't bother coworkers and supervisor for covered objectives Demonstrated certified skill/knowledge assessment was accurate <p>Recommended trainees generally complete the training within the following time frames:</p> <ul style="list-style-type: none"> Average of 18 to 25 working days to complete Phase I training Average of 18 to 23 working days to complete Phase II training Average of 10 to 15 working days to complete Phase III training <p>Most of the supervisors of the trained programmers say that the topics covered match what is needed on the job</p>
TRAINING PLANS	<ul style="list-style-type: none"> Most internal customers agree that the training plan will meet their needs and commit dollars and trainee time Supervisor is generally satisfied that the training plan contains standard components, has realistic time lines and objectives, is based on input from representative sample, and is consistent with agency long-range goals, objectives, and philosophy The incumbent meets agreed-upon deadline for first approved draft
CROSS-TRAINED ANALYSTS	<ul style="list-style-type: none"> 60%-80% trainees meet learning objectives Trainees' supervisors are generally satisfied with analysts' improvement in their ability to communicate with programmers and solve minor problems without a programmer
TRAINING FACILITY READY FOR TRAINING	<p>The supervisor is generally satisfied that:</p> <ul style="list-style-type: none"> The training room is ready for training when needed Materials are available Speaker's needs have been determined and addressed
CUSTOMER SERVICE MANUAL	<p>The supervisor is generally satisfied that the manual:</p> <ul style="list-style-type: none"> Covers most if not all job dimensions Has most if not all standard components The customer service supervisor says the document is useful

*To achieve the *Outstanding* level, the employee must consistently exceed a majority of the bullets listed for the *Fully Successful* standard. *Unacceptable* performance occurs when the employee fails to meet one or more of the bullets listed for *Fully Successful* performance.

Two-Level Appraisal—Examples

THE FOLLOWING EXAMPLES OF ELEMENTS AND STANDARDS WERE WRITTEN SPECIFICALLY FOR APPRAISAL PROGRAMS THAT APPRAISE PERFORMANCE OF ELEMENTS AT ONLY TWO LEVELS.

POLICY PROCESSING CLERK

ELEMENT	FULLY SUCCESSFUL STANDARD (To meet the <i>Fully Successful</i> standard for each element, all of the bullets listed for the element must be present or occur.)
COMPLETED AUDITS	<ul style="list-style-type: none"> No more than 5 errors per month are found on audits For at least 10 weeks per year, no audits are more than 30 days old
QUOTES AND PROPOSALS	<ul style="list-style-type: none"> No more than 5 quotes and proposals per month are found to be inaccurate at issuing No more than 5 quotes per month are processed in more than 5 days No more than 5 proposals per month are processed in more than 24 hours
SOLUTIONS	<ul style="list-style-type: none"> No more than 2 times per quarter are incorrect results or procedures spotted by the supervisor or other team members No more than 2 times per quarter are problems corrected in more than 3 business days
FINISHED POLICIES	<ul style="list-style-type: none"> No more than 5 errors per month are spotted by team members No more than 5 times per month when someone can't do the next step on a policy due to illegibility, incompleteness, or vagueness in the file No more than 3 times per month someone on the team gets a second call for the same issue/problem For at least 10 weeks per year, there are no changes more than 30 days old For at least 5 weeks per year, there is no new business more than 10 days old
ANSWERS TO QUESTIONS	<ul style="list-style-type: none"> 60% of surveyed team members and a sample of people outside the team say: <ul style="list-style-type: none"> — The technician stops what (s)he's doing and immediately tries to answer the question — They don't find out later that the answer is wrong — If the technician doesn't know the answer, (s)he either researches the solution or directs the person to the correct source

RESEARCH CHEMIST

ELEMENT	FULLY SUCCESSFUL STANDARD (To meet the <i>Fully Successful</i> standard for each element, all of the bullets listed for the element must be present or occur.)
ANALYTICAL RESULTS AND SPECIFICATIONS	<p>The Research Manager is routinely satisfied that:</p> <ul style="list-style-type: none"> The method measures the appropriate variable The results are relevant The method is scientifically sound There is a well-written protocol The method is accurate, precise, reproducible, fast, and cost-effective <p>The customer is generally satisfied that:</p> <ul style="list-style-type: none"> They can understand and observe the results The cost is within the budget The information gives understandable answers to their questions
SOLUTIONS TO CUSTOMER PROBLEMS	<p>The Research Manager is routinely satisfied that:</p> <ul style="list-style-type: none"> Reports and solutions address the question that was asked The assumptions or hypotheses are based on scientific principles The proposed solutions, suggestions, and/or recommendations are understandable The recommendations were provided within the agreed-on time frame. <p>The customer is generally satisfied that:</p> <ul style="list-style-type: none"> The report and any answers to questions address the question that was asked The proposed solutions, suggestions, and/or recommendations are understandable The proposed recommendations were provided within the agreed-on time frame The solutions work The information gives understandable answers to their questions They are able to implement the recommendations

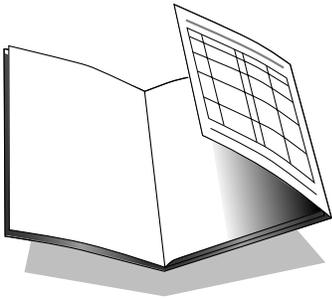
ENGINEER

ELEMENT	FULLY SUCCESSFUL STANDARD (To meet the <i>Fully Successful</i> standard for each element, all of the bullets listed for the element must be present or occur.)
DESIGNS FOR CAPITAL IMPROVEMENTS AND OPERATIONS CHANGES	<p>The supervisor is routinely satisfied that:</p> <ul style="list-style-type: none"> The cost estimate is sufficiently itemized There is backup documentation for all cost estimates There is consistency across design documents The design looks like it will solve the problem or meet the need The design doesn't cause new problems while solving the original problem <p>In addition:</p> <ul style="list-style-type: none"> There is no significant cost overrun due to inaccurate quantities The design is routinely completed by the agreed-on deadline
BUDGET REPORT	<ul style="list-style-type: none"> The budget report is generally submitted by the fifteenth day of the month The engineer is routinely able to answer questions about project financial status at any time
COMPLETED PROJECTS	<p>The supervisor is routinely satisfied that:</p> <ul style="list-style-type: none"> The project is constructed according to the design Unexpected conditions are successfully worked around Recommendations are made by agreed-on deadline The contract cost is within 5% of the estimate

PROGRAM ANALYST (BUDGET)

ELEMENT	FULLY SUCCESSFUL STANDARD (To meet the <i>Fully Successful</i> standard for each element, all of the bullets listed for the element must be present or occur .)
BUSINESS DECISION RECOMMENDATIONS, INCLUDING BUDGET ANALYSIS AND COST INFORMATION/ANALYSIS	<p>The supervisor is routinely satisfied that:</p> <ul style="list-style-type: none"> Cost impacts surrounding the decision have been identified and evaluated The numbers are accurate and do not require second-guessing or rework Reports/analysis logically state the issues and reach conclusions that are supported by the data and analysis The analysis is useful and answers the question asked The analysis/information was provided by the agreed-on deadline
FINANCIAL SYSTEMS IMPROVED	<p>The supervisor as well as the users of the system are generally satisfied that:</p> <ul style="list-style-type: none"> The system change is within the scope of control The change provides information in a more efficient, accurate, and useful manner than previously The time required to implement the change meets the customer's needs and deadlines The value of the improvements exceeds the cost of the implementation
BUDGET PROCESS EVALUATION AND ANALYSIS	<p>The supervisor is routinely satisfied that:</p> <ul style="list-style-type: none"> The reports/analysis logically state the issues and reach conclusions that are supported by the data and analysis The evaluations address all issues and cost impacts

**FOLD OVER INSIDE BACK COVER FLAP AS SHOWN TO FILL OUT CHART.
SEE PAGES 46, 51, 60, AND 66 FOR FURTHER INSTRUCTIONS**



Please cut at this line. Line does not print

PRIORITY POINTS	ELEMENT	TYPE	GENERAL MEASURE	SPECIFIC MEASURE	STANDARDS AND FEEDBACK



U.S. Office of Personnel Management

Employee Services

1900 E Street, NW, Washington, DC 20415

OPM.GOV

PERFORMANCE FACTORS

NAME: _____

DATE: _____

1. JOB KNOWLEDGE

- | | |
|---|---|
| <input type="checkbox"/> Unsatisfactory | <input type="checkbox"/> Below Standard |
| <input type="checkbox"/> Meets Standard | <input type="checkbox"/> Exceeds Standard |

Employee possesses technical skills and education to accomplish task assignments; knows the job and understands all phases involved in the work; retains information useful in accomplishing duties, demonstrates skills learned from prior training and experience; remains current on work-related information and data, endeavors to offer constructive advice.

COMMENTS AND EXAMPLES:

2. QUANTITY OF WORK

- | | |
|---|---|
| <input type="checkbox"/> Unsatisfactory | <input type="checkbox"/> Below Standard |
| <input type="checkbox"/> Meets Standard | <input type="checkbox"/> Exceeds Standard |

Employee accomplishes scheduled assignments, handles share of workload; accepts responsibilities and assignments necessary for completion of the workload; accepts responsibilities and assignments necessary for completion of the work; workload volume is not dependent upon close supervision; works at a consistent pace to not impede the performance of co-workers.

COMMENTS AND EXAMPLES:

3. QUALITY OF WORK

- | | |
|---|---|
| <input type="checkbox"/> Unsatisfactory | <input type="checkbox"/> Below Standard |
| <input type="checkbox"/> Meets Standard | <input type="checkbox"/> Exceeds Standard |

Employee's work is accurate and free from mistakes; consistent in quality whereas it does not require revision or changes by supervisors; work is neat in appearance or meets acceptable standards of completion; consideration is given to the employee's effective utilization of resources to accomplish the task in an efficient manner of using materials and equipment.

COMMENTS AND EXAMPLES:

Performance Factors

Page 1 of 3

4. WORK HABITS

- | | |
|---|---|
| <input type="checkbox"/> Unsatisfactory | <input type="checkbox"/> Below Standard |
| <input type="checkbox"/> Meets Standard | <input type="checkbox"/> Exceeds Standard |

Employee presents a neat personal appearance; punctual and timely in meeting assignments and appointments; cooperative with co-workers; displays ability to work in a group effort; adaptive to changes in the work environment.

COMMENTS AND EXAMPLES:

5. WORK ATTITUDE

- | | |
|---|---|
| <input type="checkbox"/> Unsatisfactory | <input type="checkbox"/> Below Standard |
| <input type="checkbox"/> Meets Standard | <input type="checkbox"/> Exceeds Standard |

Employee exhibits a positive attitude; self-motivating, self-confident, willingness and commitment to make efforts to get the work done in a quality manner; works harmoniously with fellow employees and displays a cooperative attitude towards the general public; dependable; seeks improvement and willing to seek guidelines if necessary.

COMMENTS AND EXAMPLES:

6. POLICY AND PROCEDURE COMPLIANCE

- | | |
|---|---|
| <input type="checkbox"/> Unsatisfactory | <input type="checkbox"/> Below Standard |
| <input type="checkbox"/> Meets Standard | <input type="checkbox"/> Exceeds Standard |

Employee accepts and follows City and department operating rules and regulations; exhibits general knowledge of policies and procedures regarding general personnel regulation, safety guidelines, affirmative action, citizen complaint process, or other procedures; work rules are understood; takes an active and positive role in contributing to the department's operating effectiveness.

COMMENTS AND EXAMPLES:

7. TEAMWORK

- Unsatisfactory
- Below Standard
- Meets Standard
- Exceeds Standard

Employee works well with supervisor and other members of the work group in building an effective team; individual's goals, talents and efforts are directed toward the needs of the department; willingly contributes to problem solving or discussions concerning work tasks affecting the work unit.

COMMENTS AND EXAMPLES:

8. INITIATIVE

- Unsatisfactory
- Below Standard
- Meets Standard
- Exceeds Standard

Employee accepts responsibility for workload and will cover for others during emergencies; resourceful in handling situations, self-starter who meets the job assignments eagerly, displays perseverance and creativity in accomplishing job assignments.

COMMENTS AND EXAMPLES:

AUTHENTICATION:

Evaluator's Signature: _____ Date: _____

Employee's Signature: _____ Date: _____

RECOMMENDATION:

Evaluator:

- No Change
- Step Increase to _____
- Merit Increase to _____
- Other _____

COMMENTS:

Performance Factors

Goal Setting Document Instructions

Purpose:

The purpose of the Goal Setting Document is to help facilitate dialogue between employees and their supervisors around the planning and follow through of work related goals.

We recommend that the supervisor fill out the document with input from the employee during a collaborative one on one meeting.

This Document should be used:

- At the beginning of employment or the start of a new assignment
- Mid Probation to check in on expectations set at the beginning of employment
- End of Probation to set expectations and goals to continue to grow within the employees position
- Ongoing at discretion of supervisor

Delivery

To ensure that you get the most out of the Goal Setting Document the conversation that should be had in between the employee and their supervisor should be collaborative and the goals that are being set should serve to further the employee in their current position. If appropriate this can also serve as a way to set goals around future opportunities and assignments and gaining the knowledge and skills necessary to take advantage of those future opportunities.

Follow Up

The Goal Setting Document has room on the second page to allow for you to schedule a follow up meeting to check in on the goals that were set. This will hold both the supervisor and employee accountable to checking in and making sure that the goals set are being worked on. This will also give both parties the opportunity to reassess the progress towards the goal if roadblocks come up. Also, when the goal has been achieved make sure to take the time to celebrate the accomplishment!

Best Practices

- Keep the goals SMART (Specific, Measurable, Achievable, Relevant, and Time-bound)
- Be mindful of department needs
- Keep your appointments
- Make sure it is a collaborative process to gain buy in.



Employee Goal Setting

This form is to be used to as a tool for all employees and supervisors to work together to further develop successful employees at the City of Hubbard and assist them in achieving their career goals.

Employee Name & Title	
Department	
Reviewer	
Date	

Job Function Goals	Due Date:
<i>Performance goals, significant projects, etc., during the next year.</i>	
Career Development Goals	
<i>Career development, training opportunities, potential special projects, etc.</i>	
Supervisor Assistance	
<i>What can the supervisor do to help ensure success for the employee?</i>	

Employee Signature _____ Date _____

Reviewer Signature _____ Date _____

Next Meeting Date:

Actual Meeting Date:

Progress Notes

Next Meeting Date:

Actual Meeting Date:

Progress Notes

Employee Input Form Instructions

Purpose:

The purpose of the Employee Input Form is to give the Employee the opportunity to reflect back on their review period and evaluate how they felt they performed during that time.

Instructions for the Employee

- Be thoughtful in your responses and be sure to take the time to reflect on all the things that you have accomplished in your role.
- When you are thinking about some things that you might want to work on also be thinking about the ways that your supervisor can assist you in this process.
- Be honest with the ways that your supervisor can assist you, they are there to ensure that you are being set up for success so it's okay to ask for help
- Be Specific
- Deliver it on time. Your supervisor will want to review it before they complete your Performance Appraisal and plan for the meeting so make sure that you are not waiting until the last minute

Instructions for the Supervisor

- Set a deadline for completion
- Ensure that you are giving your employee adequate time to complete the form. A week should be plenty depending on their schedule.
- Be open to their input. This is their perception of how they are completing their work and if it doesn't match how you see them working then you know that you have some work to do around setting expectations.

Employee Input Form

Employee Name & Title	
Department	
Reviewer	
Review Period	
Date	

Major goals, accomplishments, challenges during rating period:

Employee's overall self-evaluation of performance:

Development plans and areas targeted for improved performance:

Recommended major goals and objectives for next year:

How can your manager and department assist in your job success and enjoyment?

Employee Signature _____ Date _____

Reviewer Signature _____ Date _____

Performance Appraisal Instructions

Purpose:

The purpose of the performance appraisal is to enhance the motivation, moral, and productivity of employees. This is achieved by:

1. Communicating performance goals and objectives, expectations and adherence to the City's Core Values
2. Evaluating employee performance against agreed upon expectations
3. Providing written documentation of employee performance
4. Guiding professional development to promote employee engagement
5. Creating a dialogue between supervisors and employees on job performance matters

This form has been developed to apply to all positions and incorporate performance standards that would encompass all city jobs. Reviewers should not feel limited to just the metrics mentioned on the form and should adapt its use to meet their needs. Space has been provided for just this purpose.

Performance Ratings:

The standard evaluation form rates employee performance at four levels as defined below:

- Exceeds Expectations: Employee performance goes above and beyond the normal expectations of the position
- Fully Effective: Employee has achieved full competence in all critical measures of performance and overall contribution is entirely satisfactory
- Developing: Employee has not yet achieved full effectiveness but is in a training or developmental mode AND the rate of growth is proceeding at a satisfactory rate
- Needs Improvement: Employee has had adequate time, training and the opportunity to achieve the fully effective level but performance in one or more areas is below the level of full competence and effectiveness

The ratings should measure the employee's total effectiveness. It is important to reflect upon the entire review period and not judge total performance by one good or bad deed.

Adherence and progress towards goals set in the Goal Setting Document should also be used for consideration in determining the performance rating.

Confidentiality

All employee performance evaluations are considered to be confidential and managers are expected to follow appropriate safeguards to assure that the review is available only to those who have a need and right to have access to the evaluation as per City Policy (Personnel Records 1-5 and Performance Appraisal 3-3).

Presentation of Appraisal:

To facilitate the collaborative dialogue necessary between the supervisor and employee all Performance Appraisals should be presented to and discussed with the employee in a confidential, one on one meeting.

Signatures:

The signatures designate acknowledgement of the evaluation by the employee, the supervisor, and the Department Manager. If the employee disagrees with the evaluation, he or she may submit a written statement to be attached to the performance appraisal prior to it being placed in the employee's personnel file.



Performance Appraisal

Excellence in Public Service: Striving for excellence in public service is the objective for all of our work.

Respect for Diverse Voices and Ideas: Incorporating the voices, ideas, and cultures that reflect Hillsboro's rich personality.

Responsiveness in Customer Service: Offering fast, friendly, flexible, and fair service.

Tradition of Reliability: Valuing the stability and successes of our history.

Stewardship of the Public Trust: Sound, responsible, honest and transparent resource management.

Leadership with Ethics and Integrity: Ethical conduct and integrity as fundamentals of strong leadership.

Culture of Teamwork and Communication: Valuing our colleagues and working in collaboration.

Emphasis on Innovation: Creative and practical solutions.



Employee Name & Title	
Department	
Reviewer	
Review Period	
Date	

Employee Signature	
Reviewer Signature	
Dept Manager Signature	

Job Knowledge and Skills

Core Values Demonstrated:
<ul style="list-style-type: none"> - Emphasis on Innovation - Leadership with Ethics & Integrity - Stewardship of the Public Trust - Tradition of Reliability



Performance Standard	Behaviors Demonstrated	Performance Rating
Job knowledge and skill level	<ul style="list-style-type: none"> - Displays a depth of knowledge, experience, and skills required to perform assigned tasks 	<input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Fully Effective <input type="checkbox"/> Developing <input type="checkbox"/> Needs Improvement
Quality of work	<ul style="list-style-type: none"> - Overall quality and thoroughness of work and results are satisfactory when compared to established or desired procedures and methods 	<input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Fully Effective <input type="checkbox"/> Developing <input type="checkbox"/> Needs Improvement
Critical Thinking and Problem Solving	<ul style="list-style-type: none"> - Shows ability to be logical in approach to work and solving problems - Decisions made are well thought out and made in a timely manner 	<input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Fully Effective <input type="checkbox"/> Developing <input type="checkbox"/> Needs Improvement

Comments and examples on ratings:

Work Initiative and Organization

Core Values Demonstrated:
<ul style="list-style-type: none"> - Emphasis on Innovation - Responsiveness in Customer Service - Stewardship of the Public Trust - Tradition of Reliability

Performance Standard	Behaviors Demonstrated	Performance Rating
Productivity and Time Management	<ul style="list-style-type: none"> - Manages assigned workload and is able to make effective use of time - Is able to prioritize and meet deadlines consistently 	<input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Fully Effective <input type="checkbox"/> Developing <input type="checkbox"/> Needs Improvement
Initiative	<ul style="list-style-type: none"> - The employee is self-motivated - Actively contributes, develops and implements new ideas and methods 	<input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Fully Effective <input type="checkbox"/> Developing <input type="checkbox"/> Needs Improvement
Safety and Policy Compliance	<ul style="list-style-type: none"> - Follows established policies and procedures - Always considers safety when working with co workers and the public 	<input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Fully Effective <input type="checkbox"/> Developing <input type="checkbox"/> Needs Improvement

Comments and examples on ratings:

Customer Service and Interpersonal Skills

Core Values Demonstrated:
<ul style="list-style-type: none"> - Emphasis on Innovation - Responsiveness in Customer Service - Culture of Teamwork and Communication - Respect for Diverse Voices and Ideas



Performance Standard	Behaviors Demonstrated	Performance Rating
Communication with Citizens and Co-Workers	<ul style="list-style-type: none"> - Demonstrates effective written and verbal communication skills - Ability to provide necessary information and present a cooperative professional image 	<input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Fully Effective <input type="checkbox"/> Developing <input type="checkbox"/> Needs Improvement
Cooperation and Teamwork	<ul style="list-style-type: none"> - Ability to work effectively with others towards a common goal - Ability to work through problems collaboratively 	<input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Fully Effective <input type="checkbox"/> Developing <input type="checkbox"/> Needs Improvement
Giving and Receiving Feedback	<ul style="list-style-type: none"> - Demonstrates active listening skills and the ability to give and receive constructive criticism 	<input type="checkbox"/> Exceeds Expectations <input type="checkbox"/> Fully Effective <input type="checkbox"/> Developing <input type="checkbox"/> Needs Improvement

Comments and examples on ratings:

From: SCHUSSLER Howard R [mailto:HSCHUSSLER@Lcog.org]
Sent: Tuesday, September 01, 2020 2:40 PM
To: Vickie Nogle
Cc: ROBERT Pierre
Subject: RE: Performance Standards

There are a number of ways to identify performance standards, and, in particular for senior positions, the standards can be unique for the jurisdiction and the scope of responsibilities inherent in the particular position. I don't know that one could find a generic set of performance standards for those titles/positions that would be terribly useful. For your list

Police Chief
Public Works Superintendent
Finance Director
City Administrator / Manager
City Recorder

There are professional standards that would likely provide the foundation for an answer to your question. For example, for a City Administrator/Manager, ICMA has professional standards that most managers accept as the standard. Typically, elected Councils identify their performance standards in the Manager/Administrator employment contract – what it is that Council expects from their manager. There is a Police Chiefs association that does the same and GFOA (Government Finance Officers Association) provides that for Finance Managers. APWA (American Public Works Association) may have some information about Public Works Superintendent, but that title can mean many different things depending on the organization. The job descriptions typically at least identify what it is that each position is expected to do (and also what might make positions unique for their individual jurisdictions) and may provide a basis for performance standards.

I'm guessing that I've gotten your email because you're asking LGPS (formerly LGPI). I can scan the LGPI files to see if there are generic performance standards for the titles you've mentioned. LGPS could also work with the City of Hubbard to develop standards (using all of the above tools available). If this would be simply for the purpose of a performance evaluation, then I believe we could find something along with looking at the actual job descriptions. I realize that this is not terribly helpful to you, but, please let me know if you would like LGPS to put some time into this. Thanks you.

<https://www.lcog.org/1106/Our-Services>

<https://www.lcog.org/1108/Membership-Information>

Howard

Howard Schussler
Government Services Division Director
Local Government Personnel Services
Lane Council of Governments
859 Willamette Street, Suite 500
Eugene, OR 97401-2910

Office: 541-682-4007

Mobile: 541-556-2249

“Community is a place where the connections felt in our hearts make themselves known in the bonds between people, and where the tuggings and pullings of those bonds keep opening our hearts”
Parker Palmer

From: Vickie Nogle <vlnogle@cityofhubbard.org>

Sent: Tuesday, September 1, 2020 1:38 PM

To: SCHUSSLER Howard R <HSCHUSSLER@Lcog.org>

Subject: RE: Performance Standards

I went to a training several years ago through LOC “Supervisory Training” and one of the items they were discussing was adopting performance standards so when you evaluated an employee you would be able to better evaluate an employee based on the standards for the position. The funny thing is I cannot find samples for these positions anywhere.

Vickie L. Nogle, MMC

Director of Administration/City Recorder

503.981.9633

Monday – Thursday 7AM-5:30PM (Closed Fridays)



Chief's Report

"Committed to our community"

TO: Mayor and City Council Members
FROM: David J. Rash, Chief of Police
DATE: October 5, 2020
RE: September 2020 Police Department Report

The Success Of Teamwork

"Coming together is a beginning; keeping together is progress; working together is success." – Henry Ford

- **Notable Police Activity September 2020**

On September 29, 2020, Officer Thommen made traffic stop on what was determined to be a stolen vehicle. During the course of the investigation, he found what appeared to be 37 grams of methamphetamine. The substance will be submitted to the state crime lab.

On July 17, 2020, Officer Jimenez was sent to investigate a stolen Penske Truck that had been tracked to our city. Officer Jimenez's investigation lead to the recovery of several thousand dollars' worth of merchandise taken out from port locations in the Seattle/Tacoma area. All the merchandise recovered has been returned to the owners. Officer Jimenez has been working on the case for the last couple of months. The Woodburn Independent ran the article in September.

We made 25 arrests in the month of September. This number is an indication of our officers being proactive!

Please refer to the monthly statistical report for a complete list of incidents we responded to.

- Code Enforcement

Officers will be contacting citizens who are in violation of the city ordinance in regard to the right ways. The department and city's goal is to gain compliance with issuing citations as a last resort.

- Community Outreach

National Night Out has been cancelled for 2020 and we will again participate in 2021! Please contact Molly at the police department if you are interested in hosting an event in your neighborhood!

- Policy Manual

Our policy manual has been updated to include the recent police reform measures that were enacted by the State of Oregon. The police department is requesting city council vote the new resolution in adopting our policy manual with the new changes. The changes were including in the council packets.

Respectfully Submitted,

David J. Rash, Chief of Police
Hubbard Police Department

HPD Calls for Service	
Sep-20	
Call Type	Total
911 Investigation	3
Alarm - Burg	4
Area Check	33
Assist - Fire	8
Assist Medical	1
Assist - Police	12
Assist - Public	34
Assist - Traffic	6
Attempt to Locate	12
Bar Check	1
Burglary	4
Crash - Injury	2
Crash - Non Injury	2
Disturbance	2
EDP	1
Extra Patrol	2
Family Disturbance	1
FIR	11
Foot Patrol	3
Forgery/Counterfeit	2
Info	2
Harassment - Verbal	4
Insecure Premise	2
Intoxicated Subject	6
Missing Peron	2
Missing Person - Child/Elder	1
Narcotic Investigation	4
Noise Complaint	4
Ordinance - Aban MV	2
Ordinance - Other	4
Property Lost/Found	3
Radar	2
Rape	1
Reckless Driving	4
Robbery - Unarmed	1
School Resource Stats	2
Sex Offense	3
Stolen Vehicle	3
Suspicious Activity	13
Suspicious Person/Vehicle	29
Theft - Other	5
Traffic Stop	183
Trespass	3
Warrant Service	10
Welfare Check	5
Total:	441

HUBBARD POLICE

*PO Box 380/3720 Second Street
Hubbard, OR 97032 503-981-8738*

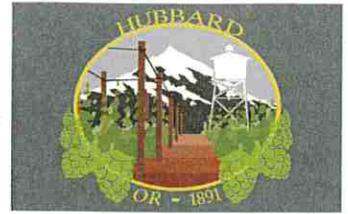


Monthly Statistical Report

To: Mayor and City Council Members
From: Chief David Rash
Date: October 1, 2020
RE: September 2020 Statistics

Arrests:	25
Citations Issued:	93
Towed Vehicles:	7
Calls for service:	441

DIRECTOR OF ADMINISTRATION/ CITY RECORDER MONTHLY REPORT



To: CITY COUNCIL
From: VICKIE NOGLE, MMC, Director of Administration/City Recorder
Date: OCTOBER 8, 2020
RE: REPORT FOR OCTOBER 13, 2020, CITY COUNCIL MEETING

ELECTION DROP BOX

The Marion County Elections office would like to place a permanent drive up Ballot Drop Box. The proposed location is on the west side of the current City Drop Box on the opposite side of the ADA ramp. There is a challenge with this location as the Ballot Drop Box is larger than the bump out of the ADA ramp. Either the bump out and curb needs to be slightly expanded or the Ballot Drop Box moved to another location. If they are unable to make the proposed location work, I suggested the parking space just west of the purposed location if the City Council would be okay with losing one parking space. This topic is on the agenda for further explanation and discussion.

ELECTIONS

The following will be placed on the ballot to fill certain positions on the City Council before the voters at the November 3, 2020, General Election:

Mayor (one) two-year term effective January 2021

Charles Rostocil - Mayor

City Councilor (two) four-year term effective January 2021

James M. Audritsh II-City Council

Christopher Schweighardt-City Council

Scott E. Stierle-City Council

Tyler Thomas-City Council

ADMINISTRATION

Awning - The awning did not have the permitted wind and snow State requirements, and we are in search of one that does.

PLANNING COMMISSION MEETING

The October 20, 2020, Planning Commission meeting will be cancelled.

BUSINESS REGISTRATION

No new Business Registrations to report for the month of September.

NEWSLETTER

Please submit your information for the Newsletter no later than **October 15, 2020**. You can submit them in writing or e-mail the Administrative Assistant/Court Clerk Julie Hedden at jhedden@cityofubbard.org.

BUILDING PERMITS

15 building permit applications have been submitted from January – September 2020.

BUILDING PERMITS

	Date Received & Sent to Co.	Date Received From County	Permit #	Applicant Name	Address	Map & Tax Lot #
1	5/13/2020	6/29/2020	555-20-003235-STR	BEL, LLC	2966 INDUSTRIAL AVENUE	041W33DA06600
2						REFUND \$2400 CK 10505
3	5/21/2020			ACCOUNTABLE SIDING	3046 G STREET	
4						
5	6/8/2020	7/27/2020	555-20-004479-DWL	Alliks Cam	3154 5TH STREET	041WW33AC09401
6						
7	7/21/2020		PER CNTY	T-MOBILE JUSTIN CAUSEY	3625 1ST STREET	
8			NOT REQUIRED			
9	7/21/2020		555-20-004631-STR	BLAKE BURAL	2363 INDUSTRIAL AVENUE	041W33DD01500
10						
11	7/21/2020	9/29/2020	555-20-005175-STR	TIMBERS SIDING CONTRACTORS	3797 9TH STREET	041W33AB00200
12						
13	8/11/2020	9/14/2020	555-20-005763-STR	JOHN STEWARD	4009 3RD ST	041W33AA04800
14						
15	8/19/2020	9/14/2020	555-20-005958-STR	FRED SCHINDLER (The Purlin Mill)	2994 SCHMIDT LANE	041W33DC00900
16						
17	8/19/2020	10/7/2020	555-20-006029-STR	WEST WIND REINFORCING	2966 INDUSTRIAL AVENUE	041W33DA06600
18						
19	8/24/2020	CANCELED	CANCELED	CITY OF HUBBARD	3720 2ND STREET	041W34BC01600
20						
21	9/14/2020			VLMK-M.KENNEDY	3490 3RD STREET	041W33AD07600
22						
23						
24						
25						
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41						
42						
43						

BUILDING PERMITS page 2

	Type of permit	Permit Amount	Receipt #	ROW	Receipt #	City Fee	SDC	Receipt #	EXCISE TAX	Valuation
1	OFFICE BUILDING / SHELL	\$ 1,849.00	1.009883	\$ 135.00	1.009982	\$ 467.25	\$ 1,836.80	1.009982	\$ 4,800.00	\$ 662,457.60
2	ADDITIONAL PYMNT 6/29/2020	\$ 10,459.71	1.009982							
3	DUPLEX	\$ 5,147.12	4.000697							
4		\$ 595.00								
5	SFR	\$ 500.00	9.000200	\$ 180.00	4.000701	\$ 480.18	\$ 16,700.00	4.000701	\$ 1,733.00	\$ 235,358.88
6	ADDITIONAL PYMNT 6/8/2020	\$ 20,994.06	4.000701							
7	MODIFY EXISTING CMNCTNG FACILITY	\$ 480.68	4.000516							
8										
9	CHANGE OF USE FOR HEMP EXTRACTION	\$ 318.88		N/A	N/A	\$ 25.00	N/A	N/A		
10	DIRECT FROM MC									
11	2ND STORY ADDITION	\$ 1,050.50	9.000314							
12										
13	STORAGE BUILDING	\$ 464.92	1.010322	N/A	N/A	\$ 47.20	N/A	N/A		\$ 23,184.00
14										
15	ADDITION STORAGE/EQUIPMENT	\$ 1,022.43	1.010327	N/A	N/A	\$ 54.50	N/A	N/A	\$ 1,356.00	\$ 273,478.08
16	ADDITIONAL PYMNT 8/14/2020	\$ 3,535.91	1.010656							
17	TI-RR PARTINS BRK ROOM	\$ 1,910.01	1.010336	\$ 135.00						
18									\$ (2,480.00)	
19	WINDOW AWNING	CANCELED	N/A	N/A	N/A	N/A	N/A	N/A		N/A
20										
21	SHELL WOOD FRAMED PAD BLD									
22	DIRECT FROM MC									
23										
24										
25										
26										
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43										

BUILDING PERMITS

	Date Received & Sent to Co.	Date Received From County	Permit #	Applicant Name	Address	Map & Tax Lot #
1	5/23/2019	9/11/2019	555-19-0038474-DWL	I & E CONSTRUCTION/ KOOIMAN ESTATES	2893 4TH STREET	041W33DB05300
2						
3	5/23/2019	8/1/2019	555-19-003961-DWL	I & E CONSTRUCTION/ KOOIMAN ESTATES	2895 4TH STREET	041WWDB05200
4						
5	5/23/2019	8/1/2019	55-19-003941-DWL	I & E CONSTRUCTION/ KOOIMAN ESTATES	2555 S LYDIA LOOP	0411W33DB05700
6						
7	5/23/2019	9/11/2019	555-19-003857-DWL	I & E CONSTRUCTION/ KOOIMAN ESTATES	2432 N LYDIA LOOP	041W33DB05800
8						
9	5/23/2019	9/11/2019	555-19-003854-DWL	I & E CONSTRUCTION/ KOOIMAN ESTATES	2540 N LYDIA LOOP	041W27CC06500
10						
11	5/23/2019	9/11/2019	555-19-003864-DWL	I & E CONSTRUCTION/ KOOIMAN ESTATES	2562 N LYDIA LOOP	04133DB05600
12						
13	5/23/2019	1/16/2020	555-19-003858-DWL	I & E CONSTRUCTION/ KOOIMAN ESTATES	2582 N LYDIA LOOP	041W33DB06100
14						
15	7/15/2019	7/31/2019	555-19-005236-STR	ALPROP CO/HARD CORE CNTRT	3574 PACIFIC HWY	041W34BC02500
16						
17	7/18/2019	10/7/2019	555-19-005305-STR	OREGON PACIFIC CONSTRCNT	2335 INDUSTRIAL AVENUE	041W33DC01600
18						
19	8/8/2019	8/8/2019	555-19-006087-DWL	CITIHOMES GROPCORP	2975 D STREET	041W33AD00201
20						
21	9/24/2019	11/18/2019	555-19-007224-STR	PACIFIC WEST CONSTRUCTION	2900 Industrial Avenue	041W33DA06300
22						
23	10/16/2019	10/24/2019	PER CNTY	RUDNICK ELECTRIC SIGNS	3776 PACIFIC HIGHWAY 99E	041W34BC02200
24			NOT REQUIRED			
25	10/9/2019	10/9/2019	555-19-006107-STR	BLAKE BURAL	2363 INDUSTRIAL AVENUE	04W33DD01500
26						
27	10/29/2019		555-19-007699	BLAKE BURAL	2310 INDUSTRIAL AVENEU	041W33DC01200
28						
29	11/18/2019	11/20/2019	PER CNTY	R & R PROPERTY HOLDINGS	3043 SCHMIDT LANE NE	
30			NOT REQUIRED			
31	12/23/2019		555-19-009126-STR	RAPHAEL GOODBLATT	2600 INDUSTRIAL AVE	041W33DD00600
32						
33	1/15/2020	1/27/2020	555-20-000399-STR	Spray Boths Nortwest	2690 Industrial AVE	041W33DD00303
34						
35	2/7/2020	2/7/2020	555-19-009116-STR	Raphael Goodblatt	2670 Industrial Properties	041W33DD00600
36						
37	2/17/2020	3/5/2020	555-20-001187-MD	J & M HOMES	3097 RAINBOW LOOP	041W34CD00100
38						
39	4/15/2020	5/5/2020	555-20-002561-STR	OFB CONSTRUCTION	3097 RAINBOW LOOP	041W34CD00100
40						
41	5/7/2020	5/20/2020	555-20-003061-STR	RIEDMAN HOME CONSTRUCTION	3347 G STREET	041W34CB03400
42						
43						

BUILDING PERMITS page 2

	Type of permit	Permit Amount	Receipt #	ROW	Receipt #	City Fee	SDC	Receipt #	EXCISE TAX	Valuation
1	SFR	\$ 2,905.95	4.00549	\$ 270.00	1.00911	\$ 209.40	\$ 16,518.00	1.00911	\$ 1,891.00	\$ 257,667.53
2	Additional PYMNT 1/16/2020	\$ 18,679.00	1.00911							
3	SFR	\$ 3,058.66	10.000487	\$ 270.00	1.00911	\$ 217.20	\$ 16,518.00	1.00911	\$ 1,972.00	\$ 263,054.97
4	Additional PYMNT 1/16/2020	\$ 18,760.00	1.00911							
5	SFR	\$ 3,017.60	10.000487	\$ 270.00	4.000549	\$ 210.70	\$ 16,518.00	4.000549	\$ 1,828.00	\$ 258,504.66
6	Additional PYMNT 09/11/2019	\$ 18,616.00	4.000549							
7	SFR	\$ 806.52	4.000549	\$ 270.00	4.000549	\$ 134.42	\$ 16,518.00	4.000549	\$ 1,826.00	\$ 255,166.67
8										
9	SFR	\$ 2,880.34	4.000549	\$ 270.00	1.008754	\$ 206.80	\$ 16,518.00	1.008754	\$ 16,518.00	\$ 255,116.67
10	ADDITIONAL PYMNT 12/11/2019	\$ 18,614.00	1.008754							
11	SFR	\$ 3,707.54	4.000549	\$ 270.00	1.00911	\$ 197.70	\$ 16,518.00	1.00911	\$ 1,756.00	\$ 248,274.63
12	ADDITIONAL PYMNT 1/16/2020	\$ 18,614.00	1.00911							
13	SFR	\$ 2,433.49	4.000549	\$ 270.00	1.00911	\$ 162.60	\$ 16,518.00	1.00911	\$ 1,603.00	\$ 221,497.34
14	ADDITIONAL PYMNT 1/16/2020	\$ 18,391.00	1.00911							
15	REPLACE STORE FRONT	\$ 554.56	4.000515	N/A	N/A	\$ 55.05	N/A	N/A		\$ 30,000.00
16	REFUND CK #9557 Date 08/13/2019	\$ 12.32								
17	NEW MULTI-USE BLD	\$ 2,597.40	10.000414	\$ 225.00	1.008549	\$ 502.01	\$ 17,382.50	1.008549	\$ 17,382.50	\$ 573,122.38
18	ADDITIONAL PYMNT 10/31/2019	\$ 26,394.32	1.008549	REFUND	\$ 2,597.40	ck#9796	11/13/2019			
19	SFR	\$ 2,190.15	4.000533	\$ 90.00	4.000554	\$ 508.47	\$ 16,518.00	4.000554	\$ 1,720.00	\$ 237,408.92
20	ADTNL PYMNT \$21378.80 9/30/19	\$ 21,378.80	4.000554	REFUND	\$2,190.15	ck#9785	11/13/2019			
21	Office Space inside existing bld	\$ 1,256.37	1.008465	N/A	N/A	\$ 201.02	N/A	1.008465		\$ 153,888.60
22	ADTNL PYMNT 9/24/2019	\$ 723.71	9.000021							
23	SIGN	\$ 187.84	1.008531	N/A	N/A	N/A	N/A	N/A		N/A
24	REFUND CK #9816 Date 11/13/2019	\$ 187.84								
25	ALTERATION									
26	DIRECT FROM MC									
27	INTERIOR RENOVATION									
28	DIRECT FROM MC									
29	SIGN	\$ 216.16	2.003016	N/A	N/A	N/A	N/A	N/A		N/A
30	REFUND CK #9839 Date 11/20/2019	\$ 216.16								
31	Tenant Improve./non-load bearing walls					\$ 25.00				
32	DIRECT FROM MC									
33	Spray Booth	\$ 244.28	9.000152	N/A	N/A	\$25.00	N/A	N/A		\$ 10,000.00
34	Applicant said to keep the \$.80	\$0.80								
35	Change of Occupancy/ TI	N/A	N/A	N/A	N/A	\$ 25.00	N/A	N/A		\$ 25,000.00
36	DIRECT FROM MC									
37	Manufactured	\$ 372.20	N/A	N/A	N/A	\$ 25.00	N/A	N/A		\$ -
38	ADDITIONAL PYMNT 3/16/2020	\$ 34.00	XBP 76305387							
39	PREFAM ALUMIUM AWNING	\$ 192.84	1.009544	N/A	N/A	\$ 30.00	N/A	N/A		\$ 11,592.00
40	ADDITIONAL PYMNT 5/11/2020	\$ 84.96	1.009846							
41	ADDITION BED / BATH	\$ 844.64	4.000696	N/A	N/A		N/A	N/A		
42										
43										

FINANCE MONTHLY REPORT – OCT 2020

To: City Council
From: Judy Smith
Date: October 5, 2020
Re: October 13, 2020 Council Meeting

Finance Reports & Notes:

1. Included are the following reports for your review:
 - a. Accrual Leave Report
 - b. Financial Statements - Balance Sheet and Rev/Exp Compared to Budget for September 2020 (soft close)
 - c. Revenue & Expense Graphs

2. Utility Billings for 2020-2021:
 - a. Water Shut Off Day – PW hung door hangers prior to shut off day, and with this effort the water shut off list was a total of 14 customers. During the next few days after, all accounts on the shut off list either paid in full, or made arrangements for payment.
 - b. Currently working on past due final billings that haven't been collected.
 1. Generated letters to property owners notifying them of delinquent accounts regarding final bills.

3. Update on Caritas Property Tax Exemption Request:
 - a. Carry over inquiry from September 8th Council Meeting – Question: *What is the financial impact of Hubbard Mobile Estates and Sherwood Mobile Manor property taxes if they become exempt?* Answer: The impact on the City's property taxes is less than 1% (.008412). The two properties are approximately \$7800 (combined) of the City collection of property taxes per year.

4. 2020 OGFOA Fall Conference:
 - a. The OGFOA conference has been changed to a virtual conference with 11 webinars throughout October. I will be attending these webinars during October as a part of the CPFO program.

5. FY19-20 Audit:
 - a. Sent in final updates to the draft financial statements for FY19-20 audit.
 - b. Auditors are working on finalizing the audit.

Consent Agenda Reports:

1. Check listing for the month of September is included in your packet.

Comments/Questions: If you have any comments/questions, please don't hesitate to e-mail me at: jsmith@cityofhubbard.org – or - call me at 503-981-9633.

Report Criteria:

Suppress employee name and number

Employee.Employee number <> 104

Employee Number	Name	Rate Desc	Hours Beg Bal	Hours Accrued	Hours Used	Hours Remain	Liability Amount
Administration							
133	Anderson-Smith, Judy	Vac	127.14	6.68	.00	133.82	4,447.45
		Sic	52.00	8.00	9.00	51.00	
		Hol	.00	20.00	20.00	.00	.00
		Com	60.51	4.50	3.50	61.51	2,044.26
137	Hedden, Julie	Vac	40.00	3.34	.00	43.34	936.89
		Sic	72.25	8.00	.00	80.25	
		Hol	.00	10.00	10.00	.00	.00
		Com	78.77	3.75	30.00	52.52	1,135.23
117	Nogle, Vickie Lynne	Vac	255.67	18.00	10.00	263.67	9,987.03
		Sic	852.50	8.00	.00	860.50	
		Hol	.00	10.00	10.00	.00	.00
		Com	65.13	3.38	8.50	60.01	2,273.00
Total Administration:			1,603.97	103.65	101.00	1,606.62	
Police Department							
101	Anderson, Chris	Vac	188.71	12.68	.00	201.39	7,634.90
		Sic	1,131.00	8.00	.00	1,139.00	
		Hol	64.50	10.00	30.00	44.50	1,687.04
		Com	41.82	.00	.00	41.82	1,585.44
103	Bentley, Glen W	Vac	226.06	13.34	40.00	199.40	6,525.80
		Sic	1,300.00	8.00	.00	1,308.00	
		Hol	.00	10.00	.00	10.00	327.27
		Com	.00	.00	.00	.00	.00
139	Holliman, Steve	Vac	40.00	.00	.00	40.00	1,119.08
		Sic	16.75	8.00	5.00	19.75	
		Hol	.00	15.00	.00	15.00	419.65
		Com	29.51	.00	30.00	.49-	13.71-
130	Jimenez, Marcos	Vac	96.92	6.68	.00	103.60	3,018.91
		Sic	203.00	8.00	.00	211.00	
		Hol	17.00	15.00	34.00	2.00-	58.28-
		Mil	50.00	.00	.00	50.00	.00
		Com	27.38	.00	.00	27.38	797.86
128	Rash, David	Vac	90.28	6.68	.00	96.96	4,827.65
		Sic	200.00	8.00	.00	208.00	
		Hol	.00	10.00	10.00	.00	.00
		Com	11.50	16.50	10.00	18.00	896.22
129	Schwartz, Molly	Vac	41.44	6.68	11.75	36.37	884.26
		Sic	31.00	8.00	11.25	27.75	
		Hol	.00	10.00	10.00	.00	.00
		Com	.38	.00	.00	.38	9.24
135	Thommen, Grant	Vac	120.08	6.68	.00	126.76	3,288.08
		Sic	134.00	8.00	.00	142.00	
		Hol	79.00	15.00	20.00	74.00	1,919.52
		Com	9.00	.00	.00	9.00	233.45
Total Police Department:			4,149.33	210.24	212.00	4,147.57	
Public Works							
138	Caballero, Aaron	Vac	40.00	.00	.00	40.00	700.03
		Sic	64.00	8.00	.00	72.00	
		Hol	6.00	10.00	10.00	6.00	105.00
		Com	3.00	7.50	.00	10.50	183.76
109	Hernandez, Juan M	Vac	278.65	10.68	.00	289.33	6,836.43
		Sic	561.50	8.00	.00	569.50	

	Hol	10.00	10.00	10.00	10.00	236.28
	Com	17.77	21.00	.00	38.77	915.96
112 Krebs, Michael R	Vac	355.15	21.34	92.50	283.99	10,591.69
	Sic	1,230.50	8.00	.00	1,238.50	
	Hol	2.50	10.00	12.00	.50	18.65
	Com	61.79	18.00	5.00	74.79	2,789.37
118 Olinger, Melinda L	Vac	349.94	17.34	15.00	352.28	10,695.96
	Sic	1,155.25	8.00	.00	1,163.25	
	Hol	.00	10.00	10.00	.00	.00
	Com	60.88	.00	.00	60.88	1,848.44
124 Steele, Timothy	Vac	115.12	6.68	.00	121.80	2,493.42
	Sic	158.50	8.00	.00	166.50	
	Hol	.00	12.50	5.00	7.50	153.54
	Com	15.50	.00	.00	15.50	317.32
136 Wheeler, Heidi	VPT	49.16	3.90	.00	53.06	954.03
	Sic	41.55	.60	1.00	41.15	
Total Public Works:		<u>4,576.75</u>	<u>199.54</u>	<u>160.50</u>	<u>4,615.79</u>	

Grand Totals:	<u>10,330.04</u>	<u>513.43</u>	<u>473.50</u>	<u>10,369.97</u>
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Pay Code Summary

Hours Beg Bal	Hours Accrued	Hours Used	Hours Remain	Liability Amount
2,414.32	140.70	169.25	2,385.77	74,941.61
7,203.80	120.60	26.25	7,298.15	
179.00	177.50	191.00	165.50	4,808.67
50.00	.00	.00	50.00	.00
482.93	74.63	87.00	470.56	15,015.84

Report Criteria:

Suppress employee name and number
Employee.Employee number <> 104

CITY OF HUBBARD
COMBINED CASH INVESTMENT
SEPTEMBER 30, 2020

COMBINED CASH ACCOUNTS

999-000-1005	CASH - COLUMBIA BANK	235,867.59
999-000-1010	CASH - XPRESS DEPOSIT ACCOUNT	3,866.14
999-000-1012	CASH CLEARING - UTILITIES	(281.56)
999-000-1014	CASH CLEARING - COURT	1,492.71
	TOTAL COMBINED CASH	240,944.88
999-000-1001	CASH ALLOCATED TO OTHER FUNDS	(240,944.88)
	TOTAL UNALLOCATED CASH	.00

CASH ALLOCATION RECONCILIATION

100	ALLOCATION TO GENERAL FUND	(2,309,620.62)
121	ALLOCATION TO STREET FUND	(554,521.40)
122	ALLOCATION TO STREET CONSTRUCTION FUND	(175,200.74)
123	ALLOCATION TO RESERVE FUND	225,856.27
125	ALLOCATION TO PARK IMPROVEMENT FUND	315,320.01
201	ALLOCATION TO SEWER UTILITY FUND	248,860.23
202	ALLOCATION TO SEWER CONSTRUCTION FUND	1,311,870.60
203	ALLOCATION TO SEWER BOND FUND	61,260.75
205	ALLOCATION TO WATER UTILITY FUND	449,333.27
206	ALLOCATION TO WATER CONSTRUCTION FUND	641,905.60
207	ALLOCATION TO WATER BOND FUND	25,880.91
	TOTAL ALLOCATIONS TO OTHER FUNDS	240,944.88
	ALLOCATION FROM 999-000-1001	(240,944.88)
	ZERO PROOF IF ALLOCATIONS BALANCE	.00

CITY OF HUBBARD
 BALANCE SHEET
 SEPTEMBER 30, 2020

GENERAL FUND

ASSETS

100-000-1001	CASH IN COMBINED CASH FUND	(2,309,620.62)	
100-000-1011	LGIP		3,427,211.37	
100-000-1012	PETTY CASH		50.00	
100-000-1013	CASH ON HAND		200.00	
100-000-1113	ACCOUNTS RECEIVABLE	(47.00)	
	TOTAL ASSETS			<u>1,117,793.75</u>

LIABILITIES AND EQUITY

LIABILITIES

100-000-2001	A/P LIABILITY	(12,469.51)	
100-000-2021	FEDERAL TAX WITHHOLDING		1,020.25	
100-000-2022	STATE TAX WITHHOLDING		325.38	
100-000-2023	RETIREMENT		1,279.36	
100-000-2026	UNION DUES	(54.36)	
100-000-2032	SCHOOL EXISE TAX		692.52	
100-000-2276	STATE ASSESSMENT		4,614.91	
100-000-2277	DEPOSITS - UNITARY		319.69	
100-000-2278	DEPOSITS - LEMLA		8.82	
100-000-2279	DEPOSITS - OJD		29.49	
100-000-2280	DEPOSITS - MARION		496.62	
100-000-2281	DEPOSITS - LAND USE	(574.95)	
100-000-2285	DEPOSITS - MISC		274.53	
	TOTAL LIABILITIES	(4,037.25)	

FUND EQUITY

100-000-2520	BEG FUND BALANCE		1,354,473.35	
	UNAPPROPRIATED FUND BALANCE: REVENUE OVER EXPENDITURES - YTD	(232,642.35)	
	BALANCE - CURRENT DATE	(232,642.35)	
	TOTAL FUND EQUITY			<u>1,121,831.00</u>
	TOTAL LIABILITIES AND EQUITY			<u>1,117,793.75</u>

CITY OF HUBBARD
REVENUES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

GENERAL FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEARNED	PCNT
<u>TAXES AND FRANCHISE FEES</u>					
100-300-3111	PROPERTY TAXES	.00	.00	924,740.00	924,740.00 .0
100-300-3112	DELINQ PROP TAXES	2,278.07	10,356.43	25,000.00	14,643.57 41.4
100-300-3180	FF-ALL OTHER	.00	.00	300.00	300.00 .0
100-300-3181	FF-PGE	.00	7,620.76	110,000.00	102,379.24 6.9
100-300-3182	FF-QWEST	.00	.00	4,200.00	4,200.00 .0
100-300-3183	FF-NW NATURAL	.00	5,225.60	26,000.00	20,774.40 20.1
100-300-3184	FF-WAVE	.00	2,079.17	11,500.00	9,420.83 18.1
100-300-3185	FF-REPUBLIC SERVICES	.00	10,863.15	40,000.00	29,136.85 27.2
100-300-3186	FF-DATAVISION	.00	287.75	1,300.00	1,012.25 22.1
100-300-3301	REVENUE SHARING	.00	10,618.12	25,000.00	14,381.88 42.5
100-300-3302	CIG TAX	342.03	936.11	4,000.00	3,063.89 23.4
100-300-3303	OLCC TAX	5,844.52	10,775.66	65,000.00	54,224.34 16.6
100-300-3305	MARIJUANA TAX - STATE	7,052.54	7,052.54	18,000.00	10,947.46 39.2
100-300-3306	MARIJUANA TAX - LOCAL	13,446.24	13,446.24	32,000.00	18,553.76 42.0
100-300-3415	GENERAL SERVICE FE	19,576.70	44,269.38	141,000.00	96,730.62 31.4
100-300-3601	MISCELLANEOUS REVENUE	.50	100.50	500.00	399.50 20.1
100-300-3611	INTEREST INCOME	2,806.68	9,450.73	50,000.00	40,549.27 18.9
	TOTAL TAXES AND FRANCHISE FEES	51,347.28	133,082.14	1,478,540.00	1,345,457.86 9.0
<u>MISC REVENUE</u>					
100-301-3211	BUSINESS REGISTRATION	.00	.00	4,825.00	4,825.00 .0
100-301-3221	FARMERS MARKET REG FEE	.00	.00	3,000.00	3,000.00 .0
100-301-3225	FOOD CARTS	.00	.00	250.00	250.00 .0
100-301-3226	DISC GOLF DONATIONS	.00	2,600.00	.00	(2,600.00) .0
100-301-3401	LIEN SEARCH	120.00	780.00	3,000.00	2,220.00 26.0
100-301-3402	BUSINESS OLCC FEE	.00	5,759.63	255.00	(5,504.63) 2258.7
100-301-3601	MISCELLANEOUS REVENUE	(.12)	(.12)	.00	.12 .0
	TOTAL MISC REVENUE	119.88	9,139.51	11,330.00	2,190.49 80.7
<u>POLICE REVENUE</u>					
100-302-3341	SEAT BELT GRANT	.00	3,906.26	2,000.00	(1,906.26) 195.3
100-302-3342	OACP GRANT DUII	.00	.00	2,000.00	2,000.00 .0
100-302-3346	BVP REIMB GRANT	589.00	1,608.00	1,000.00	(608.00) 160.8
100-302-3351	PED. ENF. GRANT	.00	.00	2,000.00	2,000.00 .0
100-302-3401	FINGERPRINTS	.00	.00	800.00	800.00 .0
100-302-3402	VEHICLE IMPOUND	300.00	1,200.00	9,000.00	7,800.00 13.3
100-302-3403	POLICE REPORTS	20.00	120.00	1,000.00	880.00 12.0
100-302-3404	SALE OF SURP PROP	.00	.00	250.00	250.00 .0
100-302-3601	MISCELLANEOUS REVENUE	3,201.90	9,018.20	100.00	(8,918.20) 9018.2
100-302-3644	PD TRAINING REV	97.13	452.13	1,500.00	1,047.87 30.1
	TOTAL POLICE REVENUE	4,208.03	16,304.59	19,650.00	3,345.41 83.0

CITY OF HUBBARD
REVENUES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

GENERAL FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEARNED	PCNT
<u>MUNICIPAL COURT REVENUE</u>					
100-303-3401 MUNICIPAL COURT	5,945.83	23,948.85	68,000.00	44,051.15	35.2
100-303-3402 MARION COUNTY COUR	.00	.00	14,673.00	14,673.00	.0
100-303-3405 TEMP OFFENSE SURCH	90.00	90.00	200.00	110.00	45.0
100-303-3611 COLLECTIONS INTERE	1,082.01	1,475.33	7,000.00	5,524.67	21.1
TOTAL MUNICIPAL COURT REVENUE	7,117.84	25,514.18	89,873.00	64,358.82	28.4
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100-304-3601 MISCELLANEOUS REVENUE PARKS	.00	.00	350.00	350.00	.0
TOTAL SOURCE 304	.00	.00	350.00	350.00	.0
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<u>COMMUNITY DEV REVENUE</u>					
100-305-3305 SCHOOL EXCISE REVE	(58.56)	10.76	500.00	489.24	2.2
100-305-3350 ECO DEV COMMUNITY PROJECT GRAN	.00	.00	30,000.00	30,000.00	.0
100-305-3401 LAND USE FEES	.00	.00	35,000.00	35,000.00	.0
100-305-3402 BUILDING PERMITS	4,110.00	10,938.92	30,000.00	19,061.08	36.5
TOTAL COMMUNITY DEV REVENUE	4,051.44	10,949.68	95,500.00	84,550.32	11.5
<hr/>					
<u>TRANSFERS IN</u>					
100-391-3910 TRANSFER IN -WATER	.00	.00	24,031.00	24,031.00	.0
100-391-3912 TRANSFER IN SEWER	.00	.00	24,000.00	24,000.00	.0
100-391-3914 TRANSFER IN- SDC A	.00	.00	5,145.00	5,145.00	.0
100-391-3920 TRANS IN - OP OH	.00	.00	82,168.00	82,168.00	.0
TOTAL TRANSFERS IN	.00	.00	135,344.00	135,344.00	.0
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<u>FUND BALANCE</u>					
100-399-9999 BEGINNING FUND BALANCE	.00	.00	1,185,164.00	1,185,164.00	.0
TOTAL FUND BALANCE	.00	.00	1,185,164.00	1,185,164.00	.0
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TOTAL FUND REVENUE	66,844.47	194,990.10	3,015,751.00	2,820,760.90	6.5

CITY OF HUBBARD
EXPENDITURES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

GENERAL FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEXPENDED	PCNT
<u>ADMINISTRATION</u>					
100-410-1100 SALARIES AND WAGES	.00	.00	70,290.00	70,290.00	.0
100-410-1101 DIRECTOR OF ADMIN/RECORDER	3,939.24	11,817.72	.00 (11,817.72)	.0
100-410-1102 FINANCE DIRECTOR	2,304.24	7,341.43	.00 (7,341.43)	.0
100-410-1105 ADMIN ASSISTANT/COURT CLERK	551.21	1,631.93	.00 (1,631.93)	.0
100-410-4100 EMPLOYEE BENEFITS	.00	.00	43,342.00	43,342.00	.0
100-410-4110 EB-MEDICAL & DENTAL	1,538.84	4,616.51	.00 (4,616.51)	.0
100-410-4120 EB-INSURANCE (LIFE & DISAB)	18.27	54.81	.00 (54.81)	.0
100-410-4150 EB-EMPLOYER TAXES	519.79	1,643.74	.00 (1,643.74)	.0
100-410-4170 EB-PERS	2,392.73	8,171.21	.00 (8,171.21)	.0
100-410-5100 PROFESSIONAL SERVICES	882.21	5,240.12	45,000.00	39,759.88	11.6
100-410-5200 CONTRACTED SUPPORT	.00	.00	200.00	200.00	.0
100-410-5300 OPERATIONAL SUPPLIES	.00	.00	200.00	200.00	.0
100-410-6100 BUILDING MAINT & SUPPLIES	147.52	471.38	3,600.00	3,128.62	13.1
100-410-6200 RENTALS AND LEASES	149.69	334.27	1,850.00	1,515.73	18.1
100-410-6300 INSURANCE	.00	3,888.95	4,800.00	911.05	81.0
100-410-6400 ADVERTISING & RECRUITMENT	.00	.00	1,000.00	1,000.00	.0
100-410-6500 LEARNING, DUES & MEMBERSHIPS	1,508.53	2,343.21	13,800.00	11,456.79	17.0
100-410-6600 OFFICE SUPPLIES & MISC EXPENSE	805.30	1,513.41	8,100.00	6,586.59	18.7
100-410-6700 EQUIP MAINT & SUPPLIES	.00	1,569.33	5,500.00	3,930.67	28.5
100-410-6900 UTILITIES	485.69	1,390.22	6,000.00	4,609.78	23.2
TOTAL ADMINISTRATION	15,243.26	52,028.24	203,682.00	151,653.76	25.5
<u>COURT</u>					
100-412-1100 SALARIES AND WAGES	.00	.00	28,800.00	28,800.00	.0
100-412-1101 DIRECTOR OF ADMIN/RECORDER	393.92	1,181.76	.00 (1,181.76)	.0
100-412-1102 FINANCE DIRECTOR	345.64	1,101.22	.00 (1,101.22)	.0
100-412-1105 ADMIN ASSISTANT/COURT CLERK	1,286.11	3,807.71	.00 (3,807.71)	.0
100-412-4100 EMPLOYEE BENEFITS	.00	.00	15,572.00	15,572.00	.0
100-412-4110 EB-MEDICAL & DENTAL	442.11	1,326.33	.00 (1,326.33)	.0
100-412-4120 EB-INSURANCE (LIFE & DISAB)	6.09	18.25	.00 (18.25)	.0
100-412-4150 EB-EMPLOYER TAXES	154.97	529.77	.00 (529.77)	.0
100-412-4170 EB-PERS	588.89	1,714.15	.00 (1,714.15)	.0
100-412-5100 PROFESSIONAL SERVICES	142.55	2,651.06	13,500.00	10,848.94	19.6
100-412-5300 OPERATIONAL SUPPLIES	.00	.00	50.00	50.00	.0
100-412-6100 BUILDING MAINT & SUPPLIES	14.16	52.68	600.00	547.32	8.8
100-412-6200 RENTALS AND LEASES	33.40	75.23	500.00	424.77	15.1
100-412-6300 INSURANCE	.00	879.35	1,100.00	220.65	79.9
100-412-6400 ADVERTISING & RECRUITMENT	.00	.00	100.00	100.00	.0
100-412-6500 LEARNING, DUES & MEMBERSHIPS	.00	.00	2,100.00	2,100.00	.0
100-412-6600 OFFICE SUPPLIES & MISC EXPENSE	187.21	388.00	2,400.00	2,012.00	16.2
100-412-6700 EQUIP MAINT & SUPPLIES	.00	.00	700.00	700.00	.0
100-412-6900 UTILITIES	106.78	312.35	1,500.00	1,187.65	20.8
TOTAL COURT	3,701.83	14,037.86	66,922.00	52,884.14	21.0

CITY OF HUBBARD
EXPENDITURES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

GENERAL FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEXPENDED	PCNT
<u>COUNCIL</u>					
100-413-5100	.00	2,009.11	15,000.00	12,990.89	13.4
100-413-5300	86.98	86.98	3,500.00	3,413.02	2.5
100-413-5500	.00	.00	5,000.00	5,000.00	.0
100-413-6500	.00	.00	1,000.00	1,000.00	.0
100-413-6600	.00	.00	700.00	700.00	.0
TOTAL COUNCIL	86.98	2,096.09	25,200.00	23,103.91	8.3
<u>COMMUNITY DEVELOPMENT</u>					
100-419-1100	.00	.00	14,409.00	14,409.00	.0
100-419-1101	984.80	2,954.40	.00 (2,954.40)	.0
100-419-1102	288.04	917.72	.00 (917.72)	.0
100-419-1104	193.94	612.03	.00 (612.03)	.0
100-419-4100	.00	.00	8,711.00	8,711.00	.0
100-419-4110	333.27	999.81	.00 (999.81)	.0
100-419-4120	3.81	11.43	.00 (11.43)	.0
100-419-4150	112.22	343.08	.00 (343.08)	.0
100-419-4170	483.94	1,476.24	.00 (1,476.24)	.0
100-419-5100	1,430.75	7,935.54	22,500.00	14,564.46	35.3
100-419-5400	.00	13,359.54	45,500.00	32,140.46	29.4
100-419-5500	.00	.00	26,000.00	26,000.00	.0
100-419-6500	.00	.00	2,500.00	2,500.00	.0
TOTAL COMMUNITY DEVELOPMENT	3,830.77	28,609.79	119,620.00	91,010.21	23.9

CITY OF HUBBARD
EXPENDITURES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

GENERAL FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEXPENDED	PCNT
<u>POLICE</u>					
100-421-1100 SALARIES AND WAGES	.00	2,657.88	525,862.00	523,204.12	.5
100-421-1101 DIRECTOR OF ADMIN/RECORDER	131.30	393.90	.00 (393.90)	.0
100-421-1102 FINANCE DIRECTOR	115.22	367.09	.00 (367.09)	.0
100-421-1103 CHIEF OF POLICE	8,630.28	25,890.84	.00 (25,890.84)	.0
100-421-1105 ADMININSTRATIVE ASSISTANT	4,214.24	12,642.72	.00 (12,642.72)	.0
100-421-1106 POLICE OFFICERS	29,141.47	86,106.20	.00 (86,106.20)	.0
100-421-1212 OVERTIME	834.54	2,086.35	.00 (2,086.35)	.0
100-421-4100 EMPLOYEE BENEFITS	.00	.00	396,160.00	396,160.00	.0
100-421-4110 EB-MEDICAL & DENTAL	13,679.62	41,038.86	.00 (41,038.86)	.0
100-421-4120 EB-INSURANCE (LIFE & DISAB)	103.07	309.21	.00 (309.21)	.0
100-421-4150 EB-EMPLOYER TAXES	3,294.64	9,752.77	.00 (9,752.77)	.0
100-421-4170 EB-PERS	10,922.28	33,271.62	31,000.00 (2,271.62)	107.3
100-421-5100 PROFESSIONAL SERVICES	541.26	3,676.31	26,200.00	22,523.69	14.0
100-421-5200 CONTRACTED SUPPORT	75.56	1,470.56	7,000.00	5,529.44	21.0
100-421-5300 OPERATIONAL SUPPLIES	215.78	800.64	10,000.00	9,199.36	8.0
100-421-5400 INTERGOVERNMENTAL	.00	24,604.34	117,000.00	92,395.66	21.0
100-421-5500 PROGRAM & GRANT EXPENSES	.00	589.00	8,000.00	7,411.00	7.4
100-421-6100 BUILDING MAINT & SUPPLIES	155.69	518.07	5,000.00	4,481.93	10.4
100-421-6200 RENTALS AND LEASES	163.80	541.85	53,500.00	52,958.15	1.0
100-421-6300 INSURANCE	.00	19,555.16	21,500.00	1,944.84	91.0
100-421-6400 ADVERTISING & RECRUITMENT	.00	.00	2,000.00	2,000.00	.0
100-421-6500 LEARNING, DUES & MEMBERSHIPS	1,036.00	1,410.42	16,500.00	15,089.58	8.6
100-421-6600 OFFICE SUPPLIES & MISC EXPENSE	199.15	403.62	5,500.00	5,096.38	7.3
100-421-6700 EQUIP MAINT & SUPPLIES	3,714.54	11,337.53	55,000.00	43,662.47	20.6
100-421-6800 UNIFORMS	.00	630.98	6,000.00	5,369.02	10.5
100-421-6900 UTILITIES	978.33	2,750.83	12,650.00	9,899.17	21.8
TOTAL POLICE	78,146.77	282,806.75	1,298,872.00	1,016,065.25	21.8

CITY OF HUBBARD
EXPENDITURES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

GENERAL FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEXPENDED	PCNT
<u>PARKS</u>					
100-452-1100 SALARIES AND WAGES	.00	.00	75,568.00	75,568.00	.0
100-452-1101 DIRECTOR OF ADMIN/RECORDER	131.30	393.90	.00	(393.90)	.0
100-452-1102 FINANCE DIRECTOR	115.22	367.09	.00	(367.09)	.0
100-452-1105 ADMINISTRATIVE ASSISTANT	1,361.24	4,058.11	.00	(4,058.11)	.0
100-452-1107 UTILITY WORKER 1	3,357.38	9,889.88	.00	(9,889.88)	.0
100-452-1108 PW ADMIN ASSISTANT	529.30	1,645.21	.00	(1,645.21)	.0
100-452-1114 PUBLIC WORKS FOREMAN	1,292.92	4,080.15	.00	(4,080.15)	.0
100-452-4100 EMPLOYEE BENEFITS	.00	.00	52,715.00	52,715.00	.0
100-452-4110 EB-MEDICAL & DENTAL	1,879.91	5,639.72	.00	(5,639.72)	.0
100-452-4120 EB-INSURANCE (LIFE & DISAB)	15.90	47.70	.00	(47.70)	.0
100-452-4150 EB-EMPLOYER TAXES	519.25	1,566.83	.00	(1,566.83)	.0
100-452-4170 EB-PERS	2,025.04	5,881.85	.00	(5,881.85)	.0
100-452-5100 PROFESSIONAL SERVICES	59.43	836.21	4,600.00	3,763.79	18.2
100-452-5200 CONTRACTED SUPPORT	.00	.00	400.00	400.00	.0
100-452-5300 OPERATIONAL SUPPLIES	172.50	1,090.26	15,800.00	14,709.74	6.9
100-452-6100 BUILDING MAINT & SUPPLIES	332.59	828.20	5,900.00	5,071.80	14.0
100-452-6200 RENTALS AND LEASES	26.91	55.76	500.00	444.24	11.2
100-452-6300 INSURANCE	.00	4,474.83	5,000.00	525.17	89.5
100-452-6400 ADVERTISING & RECRUITMENT	.00	.00	100.00	100.00	.0
100-452-6500 LEARNING, DUES & MEMBERSHIPS	.00	187.00	1,100.00	913.00	17.0
100-452-6600 OFFICE SUPPLIES & MISC EXPENSE	87.32	225.99	1,600.00	1,374.01	14.1
100-452-6700 EQUIP MAINT & SUPPLIES	437.15	5,259.08	9,300.00	4,040.92	56.6
100-452-6800 UNIFORMS	64.99	127.89	500.00	372.11	25.6
100-452-6900 UTILITIES	761.08	2,398.07	11,300.00	8,901.93	21.2
TOTAL PARKS	13,169.43	49,053.73	184,383.00	135,329.27	26.6
<u>CONTINGENCY</u>					
100-900-9900 CONTINGENCY	.00	.00	284,802.00	284,802.00	.0
100-900-9990 RESERVE FUTURE EXPENDITURES	.00	.00	832,270.00	832,270.00	.0
TOTAL CONTINGENCY	.00	.00	1,117,072.00	1,117,072.00	.0
TOTAL FUND EXPENDITURES	114,179.04	428,632.46	3,015,751.00	2,587,118.54	14.2
NET REVENUE OVER EXPENDITURES	(47,334.57)	(233,642.36)	.00	233,642.36	.0

CITY OF HUBBARD
 BALANCE SHEET
 SEPTEMBER 30, 2020

STREET FUND

ASSETS

121-000-1001	CASH IN COMBINED CASH FUND	(554,521.40)	
121-000-1011	LGIP		648,604.14	
	TOTAL ASSETS			94,082.74

LIABILITIES AND EQUITY

LIABILITIES

121-000-2001	A/P LIABILITY	(1,484.85)	
121-000-2021	FEDERAL TAX WITHHOLDING		304.57	
121-000-2022	STATE TAX WITHHOLDING		161.06	
121-000-2023	RETIREMENT		796.44	
	TOTAL LIABILITIES	(222.78)	

FUND EQUITY

121-000-2520	BEG FUND BALANCE		89,892.65	
	UNAPPROPRIATED FUND BALANCE: REVENUE OVER EXPENDITURES - YTD		4,412.87	
	BALANCE - CURRENT DATE		4,412.87	
	TOTAL FUND EQUITY			94,305.52
	TOTAL LIABILITIES AND EQUITY			94,082.74

CITY OF HUBBARD
REVENUES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

STREET FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEARNED	PCNT
<u>STREET FUND REVENUE</u>					
121-300-3190 GAS TAX	14,108.67	34,786.90	165,000.00	130,213.10	21.1
121-300-3407 TRANSPORTATION UTILITY	13,589.42	30,730.50	100,000.00	69,269.50	30.7
121-300-3408 ROW PERMITS	.00	315.00	1,750.00	1,435.00	18.0
121-300-3601 MISCELLANEOUS REVENUE	.00	.00	100.00	100.00	.0
121-300-3611 INTEREST INCOME	528.39	1,682.52	5,000.00	3,317.48	33.7
TOTAL STREET FUND REVENUE	<u>28,226.48</u>	<u>67,514.92</u>	<u>271,850.00</u>	<u>204,335.08</u>	<u>24.8</u>
 <u>FUND BALANCE</u>					
121-399-9999 BEGINNING FUND BALANCE	<u>.00</u>	<u>.00</u>	<u>96,663.00</u>	<u>96,663.00</u>	<u>.0</u>
TOTAL FUND BALANCE	<u>.00</u>	<u>.00</u>	<u>96,663.00</u>	<u>96,663.00</u>	<u>.0</u>
TOTAL FUND REVENUE	<u>28,226.48</u>	<u>67,514.92</u>	<u>368,513.00</u>	<u>300,998.08</u>	<u>18.3</u>

CITY OF HUBBARD
EXPENDITURES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

STREET FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEXPENDED	PCNT
<u>STREET FUND EXP</u>					
121-431-1100 SALARIES AND WAGES	.00	.00	84,139.00	84,139.00	.0
121-431-1101 DIRECTOR OF ADMIN/RECORDER	328.26	984.78	.00 (984.78)	.0
121-431-1102 FINANCE DIRECTOR	864.10	2,753.08	.00 (2,753.08)	.0
121-431-1105 ADMINISTRATIVE ASSISTANT	1,728.71	5,146.06	.00 (5,146.06)	.0
121-431-1107 UTILITY WORKER 1	3,571.62	10,532.57	.00 (10,532.57)	.0
121-431-1108 PW ADMIN ASSISTANT	529.30	1,645.21	.00 (1,645.21)	.0
121-431-1114 PUBLIC WORKS FOREMAN	1,098.98	3,468.12	.00 (3,468.12)	.0
121-431-4100 EMPLOYEE BENEFITS	.00	.00	55,754.00	55,754.00	.0
121-431-4110 EB-MEDICAL & DENTAL	2,217.57	6,652.73	.00 (6,652.73)	.0
121-431-4120 EB-INSURANCE (LIFE & DISAB)	19.76	59.28	.00 (59.28)	.0
121-431-4150 EB-EMPLOYER TAXES	621.30	1,890.82	.00 (1,890.82)	.0
121-431-4170 EB-PERS	2,428.41	7,261.06	.00 (7,261.06)	.0
121-431-5100 PROFESSIONAL SERVICES	249.28	1,904.99	10,100.00	8,195.01	18.9
121-431-5200 CONTRACTED SUPPORT	1,889.50	3,666.50	27,700.00	24,033.50	13.2
121-431-5300 OPERATIONAL SUPPLIES	69.99	151.18	100.00 (51.18)	151.2
121-431-5500 PROGRAM & GRANT EXPENSES	41.16	1,390.74	11,200.00	9,809.26	12.4
121-431-6100 BUILDING MAINT & SUPPLIES	337.47	671.71	2,250.00	1,578.29	29.9
121-431-6200 RENTALS AND LEASES	24.75	49.28	400.00	350.72	12.3
121-431-6300 INSURANCE	.00	3,749.49	4,200.00	450.51	89.3
121-431-6400 ADVERTISING & RECRUITMENT	.00	.00	100.00	100.00	.0
121-431-6500 LEARNING, DUES & MEMBERSHIPS	.00	187.00	600.00	413.00	31.2
121-431-6600 OFFICE SUPPLIES & MISC EXPENSE	244.89	537.91	2,200.00	1,662.09	24.5
121-431-6700 EQUIP MAINT & SUPPLIES	191.94	1,035.25	5,600.00	4,564.75	18.5
121-431-6800 UNIFORMS	64.99	127.90	300.00	172.10	42.6
121-431-6900 UTILITIES	3,082.28	9,236.39	42,977.00	33,740.61	21.5
TOTAL STREET FUND EXP	19,604.26	63,102.05	247,620.00	184,517.95	25.5
<u>TRANSFER OUT</u>					
121-491-8701 OPERATIONAL OVERHEAD	.00	.00	24,300.00	24,300.00	.0
TOTAL TRANSFER OUT	.00	.00	24,300.00	24,300.00	.0
<u>CONTINGENCY</u>					
121-900-9900 CONTINGENCY	.00	.00	40,788.00	40,788.00	.0
121-900-9990 RESERVE FUTURE EXPENDITURES	.00	.00	55,805.00	55,805.00	.0
TOTAL CONTINGENCY	.00	.00	96,593.00	96,593.00	.0
TOTAL FUND EXPENDITURES	19,604.26	63,102.05	368,513.00	305,410.95	17.1
NET REVENUE OVER EXPENDITURES	8,622.22	4,412.87	.00 (4,412.87)	.0

CITY OF HUBBARD
BALANCE SHEET
SEPTEMBER 30, 2020

STREET CONSTRUCTION FUND

ASSETS

122-000-1001	CASH IN COMBINED CASH FUND	(175,200.74)	
122-000-1011	LGIP		436,614.62	
	TOTAL ASSETS			<u>261,413.88</u>

LIABILITIES AND EQUITY

FUND EQUITY

122-000-2520	BEG FUND BALANCE		256,495.74	
	UNAPPROPRIATED FUND BALANCE: REVENUE OVER EXPENDITURES - YTD		<u>4,918.14</u>	
	BALANCE - CURRENT DATE		<u>4,918.14</u>	
	TOTAL FUND EQUITY			<u>261,413.88</u>
	TOTAL LIABILITIES AND EQUITY			<u>261,413.88</u>

CITY OF HUBBARD
 REVENUES WITH COMPARISON TO BUDGET
 FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

STREET CONSTRUCTION FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEARNED	PCNT
<u>STREET CONSTRUCTION REVENUE</u>					
122-300-3190 GAS TAX	4,702.89	11,595.63	55,000.00	43,404.37	21.1
122-300-3341 SPECIAL ALLOTMENT	.00	.00	100,000.00	100,000.00	.0
122-300-3550 ASSESSMENT PRINCIPAL	.00	.00	100.00	100.00	.0
122-300-3551 SDC-IMPROVEMENT	.00	3,864.00	19,320.00	15,456.00	20.0
122-300-3554 SDC ADMINISTRATION	.00	195.00	975.00	780.00	20.0
122-300-3601 MISCELLANEOUS REVENUE	.00	42.85	.00	(42.85)	.0
122-300-3611 INTEREST INCOME	355.69	1,150.70	3,000.00	1,849.30	38.4
TOTAL STREET CONSTRUCTION REVENUE	5,058.58	16,848.18	178,395.00	161,546.82	9.4
<u>FUND BALANCE</u>					
122-399-9999 BEGINNING FUND BALANCE	.00	.00	316,492.00	316,492.00	.0
TOTAL FUND BALANCE	.00	.00	316,492.00	316,492.00	.0
TOTAL FUND REVENUE	5,058.58	16,848.18	494,887.00	478,038.82	3.4

CITY OF HUBBARD
 EXPENDITURES WITH COMPARISON TO BUDGET
 FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

STREET CONSTRUCTION FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEXPENDED	PCNT
<u>STREET CONST. FUND EXP</u>					
122-431-7000 CAPITAL OUTLAY	2,548.50	11,930.04	177,420.00	165,489.96	6.7
TOTAL STREET CONST. FUND EXP	2,548.50	11,930.04	177,420.00	165,489.96	6.7
<u>TRANSFER OUT</u>					
122-491-8801 SDC ADMINISTRATION	.00	.00	975.00	975.00	.0
TOTAL TRANSFER OUT	.00	.00	975.00	975.00	.0
<u>CONTINGENCY</u>					
122-900-9900 CONTINGENCY	.00	.00	26,759.00	26,759.00	.0
122-900-9990 RESERVE FUTURE EXPENDITURES	.00	.00	289,733.00	289,733.00	.0
TOTAL CONTINGENCY	.00	.00	316,492.00	316,492.00	.0
TOTAL FUND EXPENDITURES	2,548.50	11,930.04	494,887.00	482,956.96	2.4
NET REVENUE OVER EXPENDITURES	2,510.08	4,918.14	.00	(4,918.14)	.0

CITY OF HUBBARD
 BALANCE SHEET
 SEPTEMBER 30, 2020

RESERVE FUND

ASSETS

123-000-1001	CASH IN COMBINED CASH FUND	225,856.27	
123-000-1011	LGIP	42,465.89	
	TOTAL ASSETS		268,322.16

LIABILITIES AND EQUITY

FUND EQUITY

123-000-2520	BEG FUND BALANCE	276,720.64	
	UNAPPROPRIATED FUND BALANCE: REVENUE OVER EXPENDITURES - YTD	(8,398.48)	
	BALANCE - CURRENT DATE	(8,398.48)	
	TOTAL FUND EQUITY		268,322.16
	TOTAL LIABILITIES AND EQUITY		268,322.16

CITY OF HUBBARD
 REVENUES WITH COMPARISON TO BUDGET
 FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

RESERVE FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEARNED	PCNT
<u>RESERVE FUND REVENUE</u>					
123-300-3611 INTEREST	34.59	113.64	850.00	736.36	13.4
TOTAL RESERVE FUND REVENUE	34.59	113.64	850.00	736.36	13.4
<u>FUND BALANCE</u>					
123-399-9999 BEGINNING FUND BALANCE	.00	.00	279,423.00	279,423.00	.0
TOTAL FUND BALANCE	.00	.00	279,423.00	279,423.00	.0
TOTAL FUND REVENUE	34.59	113.64	280,273.00	280,159.36	.0

CITY OF HUBBARD
EXPENDITURES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

RESERVE FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEXPENDED	PCNT
<u>RESERVE FUND EXP</u>					
123-423-7504 DUMP TRUCK	.00	.00	43,730.00	43,730.00	.0
123-423-7505 BACKHOE	.00	.00	50,856.00	50,856.00	.0
123-423-7506 PUB WRKS TRAC/MOWE	.00	.00	32,129.00	32,129.00	.0
123-423-7515 PLOTTER	.00	.00	6,906.00	6,906.00	.0
123-423-7710 PUB WRKS PICK UP	.00	.00	21,371.00	21,371.00	.0
123-423-7726 CITY HALL SIDING	.00	42.12	31,960.00	31,917.88	.1
123-423-7727 CITY HALL CARPET	8,470.00	8,470.00	15,386.00	6,916.00	55.1
123-423-7740 POLICE VEHICLE	.00	.00	55,930.00	55,930.00	.0
123-423-7741 CITY HALL / POLICE DEPT - BLDG	.00	.00	21,156.00	21,156.00	.0
TOTAL RESERVE FUND EXP	8,470.00	8,512.12	279,424.00	270,911.88	3.1
<u>CONTINGENCY</u>					
123-900-9990 RESERVE FUTURE EXPENDITURES	.00	.00	849.00	849.00	.0
TOTAL CONTINGENCY	.00	.00	849.00	849.00	.0
TOTAL FUND EXPENDITURES	8,470.00	8,512.12	280,273.00	271,760.88	3.0
NET REVENUE OVER EXPENDITURES	(8,435.41)	(8,398.48)	.00	8,398.48	.0

CITY OF HUBBARD
BALANCE SHEET
SEPTEMBER 30, 2020

PARK IMPROVEMENT FUND

ASSETS

125-000-1001	CASH IN COMBINED CASH FUND	315,320.01	
125-000-1011	LGIP	40,495.20	
	TOTAL ASSETS		<u>355,815.21</u>

LIABILITIES AND EQUITY

FUND EQUITY

125-000-2520	BEG FUND BALANCE	351,363.98	
	UNAPPROPRIATED FUND BALANCE: REVENUE OVER EXPENDITURES - YTD	4,451.23	
	BALANCE - CURRENT DATE	4,451.23	
	TOTAL FUND EQUITY		<u>355,815.21</u>
	TOTAL LIABILITIES AND EQUITY		<u>355,815.21</u>

CITY OF HUBBARD
 REVENUES WITH COMPARISON TO BUDGET
 FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

PARK IMPROVEMENT FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEARNED	PCNT
<u>PARK IMPROVMENT REVENUE</u>					
125-300-3301 STATE SHARED REVEN	.00	.00	20,000.00	20,000.00	.0
125-300-3341 STATE PARKS DEPT.	.00	.00	195,200.00	195,200.00	.0
125-300-3551 SDC-IMPROVEMENT	.00	3,570.00	17,850.00	14,280.00	20.0
125-300-3552 SDC-REIMBURSEMENT	.00	557.00	2,790.00	2,233.00	20.0
125-300-3554 SDC-ADMINISTRATION	.00	173.00	870.00	697.00	19.9
125-300-3601 MISCELLANEOUS REVENUE	.00	42.85	.00	(42.85)	.0
125-300-3611 INTEREST INCOME	32.99	108.38	300.00	191.62	36.1
TOTAL PARK IMPROVMENT REVENUE	32.99	4,451.23	237,010.00	232,558.77	1.9
<u>BEGINNING FUND BALANCE</u>					
125-399-9999 BEGINNING FUND BALANCE	.00	.00	370,439.00	370,439.00	.0
TOTAL BEGINNING FUND BALANCE	.00	.00	370,439.00	370,439.00	.0
TOTAL FUND REVENUE	32.99	4,451.23	607,449.00	602,997.77	.7

CITY OF HUBBARD
EXPENDITURES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

PARK IMPROVEMENT FUND

		PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEXPENDED	PCNT
<u>PARK IMPROV FUND EXP</u>						
125-452-7000	CAPITAL OUTLAY	.00	.00	236,140.00	236,140.00	.0
	TOTAL PARK IMPROV FUND EXP	.00	.00	236,140.00	236,140.00	.0
<u>TRANSFER OUT</u>						
125-491-8000	TRANSFERS OUT	.00	.00	870.00	870.00	.0
	TOTAL TRANSFER OUT	.00	.00	870.00	870.00	.0
<u>CONTINGENCY</u>						
125-900-9900	CONTINGENCY	.00	.00	35,552.00	35,552.00	.0
125-900-9990	RESERVE FUTURE EXPENDITURES	.00	.00	334,887.00	334,887.00	.0
	TOTAL CONTINGENCY	.00	.00	370,439.00	370,439.00	.0
	TOTAL FUND EXPENDITURES	.00	.00	607,449.00	607,449.00	.0
	NET REVENUE OVER EXPENDITURES	32.99	4,451.23	.00	(4,451.23)	.0

CITY OF HUBBARD
 BALANCE SHEET
 SEPTEMBER 30, 2020

SEWER UTILITY FUND

ASSETS

201-000-1001	CASH IN COMBINED CASH FUND	248,860.23	
201-000-1011	LGIP	28,378.81	
	TOTAL ASSETS		277,239.04

LIABILITIES AND EQUITY

LIABILITIES

201-000-2001	A/P LIABILITY	(1,537.81)	
201-000-2021	FEDERAL TAX WITHHOLDING	748.53	
201-000-2022	STATE TAX WITHHOLDING	269.62	
201-000-2023	RETIREMENT	2,853.88	
	TOTAL LIABILITIES		2,334.22

FUND EQUITY

201-000-2520	BEG FUND BALANCE	217,838.63	
	UNAPPROPRIATED FUND BALANCE: REVENUE OVER EXPENDITURES - YTD	57,066.19	
	BALANCE - CURRENT DATE	57,066.19	
	TOTAL FUND EQUITY		274,904.82
	TOTAL LIABILITIES AND EQUITY		277,239.04

CITY OF HUBBARD
 REVENUES WITH COMPARISON TO BUDGET
 FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

SEWER UTILITY FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEARNED	PCNT
<u>SEWER UTILITY REVENUE</u>					
201-300-3441 SERVICE CHARGES SE	72,116.80	157,066.25	480,000.00	322,933.75	32.7
201-300-3601 MISCELLANEOUS REVENUE	.00	42.85	.00	(42.85)	.0
201-300-3611 INTEREST INCOME	.00	.00	30.00	30.00	.0
TOTAL SEWER UTILITY REVENUE	<u>72,116.80</u>	<u>157,109.10</u>	<u>480,030.00</u>	<u>322,920.90</u>	<u>32.7</u>
<u>BEGINNING FUND BALANCE</u>					
201-399-9999 BEGINNING FUND BALANCE	.00	.00	110,134.00	110,134.00	.0
TOTAL BEGINNING FUND BALANCE	<u>.00</u>	<u>.00</u>	<u>110,134.00</u>	<u>110,134.00</u>	<u>.0</u>
TOTAL FUND REVENUE	<u>72,116.80</u>	<u>157,109.10</u>	<u>590,164.00</u>	<u>433,054.90</u>	<u>26.6</u>

CITY OF HUBBARD
EXPENDITURES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

SEWER UTILITY FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEXPENDED	PCNT
<u>SEWER UTILITY FUND EXP</u>					
201-432-1100 SALARIES AND WAGES	.00	.00	132,121.00	132,121.00	.0
201-432-1101 DIRECTOR OF ADMIN/RECORDER	328.26	984.78	.00 (984.78)	.0
201-432-1102 FINANCE DIRECTOR	864.10	2,753.08	.00 (2,753.08)	.0
201-432-1105 ADMINISTRATIVE ASSISTANT	1,912.45	5,690.04	.00 (5,690.04)	.0
201-432-1107 UTILITY WORKER 1	1,485.90	4,366.57	.00 (4,366.57)	.0
201-432-1108 PW ADMIN ASSISTANT	529.30	1,645.21	.00 (1,645.21)	.0
201-432-1114 PUBLIC WORKS FOREMAN	2,585.88	8,160.47	.00 (8,160.47)	.0
201-432-4100 EMPLOYEE BENEFITS	.00	.00	88,846.00	88,846.00	.0
201-432-4110 EB-MEDICAL & DENTAL	2,007.45	6,022.39	.00 (6,022.39)	.0
201-432-4120 EB-INSURANCE (LIFE & DISAB)	17.85	53.57	.00 (53.57)	.0
201-432-4150 EB-EMPLOYER TAXES	589.53	1,826.82	.00 (1,826.82)	.0
201-432-4170 EB-PERS	2,488.42	7,794.10	.00 (7,794.10)	.0
201-432-5100 PROFESSIONAL SERVICES	691.96	3,137.91	18,000.00	14,862.09	17.4
201-432-5200 CONTRACTED SUPPORT	226.00	687.60	26,900.00	26,212.40	2.6
201-432-5300 OPERATIONAL SUPPLIES	360.23	534.46	6,400.00	5,865.54	8.4
201-432-6100 BUILDING MAINT & SUPPLIES	483.72	855.70	5,900.00	5,044.30	14.5
201-432-6200 RENTALS AND LEASES	117.31	237.07	1,300.00	1,062.93	18.2
201-432-6300 INSURANCE	.00	9,120.89	10,000.00	879.11	91.2
201-432-6400 ADVERTISING & RECRUITMENT	.00	.00	100.00	100.00	.0
201-432-6500 LEARNING, DUES & MEMBERSHIPS	.00	92.50	5,600.00	5,507.50	1.7
201-432-6600 OFFICE SUPPLIES & MISC EXPENSE	816.56	1,751.37	13,000.00	11,248.63	13.5
201-432-6700 EQUIP MAINT & SUPPLIES	3,592.55	6,574.56	22,000.00	15,425.44	29.9
201-432-6800 UNIFORMS	64.99	127.90	600.00	472.10	21.3
201-432-6900 UTILITIES	3,493.69	10,382.92	44,000.00	33,617.08	23.6
TOTAL SEWER UTILITY FUND EXP	22,656.15	72,799.91	374,767.00	301,967.09	19.4
<u>TRANSFER OUT</u>					
201-491-8006 TRANS TO SEWER BOND	.00	27,243.00	54,486.00	27,243.00	50.0
201-491-8601 FRANCHISE FEE	.00	.00	24,000.00	24,000.00	.0
201-491-8701 OPERATIONAL OVERHEAD	.00	.00	27,000.00	27,000.00	.0
TOTAL TRANSFER OUT	.00	27,243.00	105,486.00	78,243.00	25.8
<u>CONTINGENCY</u>					
201-900-9900 CONTINGENCY	.00	.00	72,038.00	72,038.00	.0
201-900-9990 RESERVE FUTURE EXPENDITURES	.00	.00	37,873.00	37,873.00	.0
TOTAL CONTINGENCY	.00	.00	109,911.00	109,911.00	.0
TOTAL FUND EXPENDITURES	22,656.15	100,042.91	590,164.00	490,121.09	17.0
NET REVENUE OVER EXPENDITURES	49,460.65	57,066.19	.00 (57,066.19)	.0

CITY OF HUBBARD
BALANCE SHEET
SEPTEMBER 30, 2020

SEWER CONSTRUCTION FUND

ASSETS

202-000-1001	CASH IN COMBINED CASH FUND	1,311,870.60	
202-000-1011	LGIP	307,248.57	
	TOTAL ASSETS		<u>1,619,119.17</u>

LIABILITIES AND EQUITY

FUND EQUITY

202-000-2520	BEG FUND BALANCE	1,564,331.20	
	UNAPPROPRIATED FUND BALANCE: REVENUE OVER EXPENDITURES - YTD	54,787.97	
	BALANCE - CURRENT DATE	54,787.97	
	TOTAL FUND EQUITY		<u>1,619,119.17</u>
	TOTAL LIABILITIES AND EQUITY		<u>1,619,119.17</u>

CITY OF HUBBARD
 REVENUES WITH COMPARISON TO BUDGET
 FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

SEWER CONSTRUCTION FUND

		PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEARNED	PCNT
<u>SEWER CONSTRUCTION REVENUE</u>						
202-300-3550	WASTEWATER REUSE R	21,610.24	48,938.73	141,000.00	92,061.27	34.7
202-300-3551	SDC-IMPROVEMENT	.00	1,236.00	6,180.00	4,944.00	20.0
202-300-3552	SDC-REIMBURSEMENT	.00	3,467.00	17,350.00	13,883.00	20.0
202-300-3554	SDC-ADMINISTRATION	.00	324.00	1,650.00	1,326.00	19.6
202-300-3611	INTEREST INCOME	250.30	822.24	3,000.00	2,177.76	27.4
TOTAL SEWER CONSTRUCTION REVENUE		21,860.54	54,787.97	169,180.00	114,392.03	32.4
<u>BEGINNING FUND BALANCE</u>						
202-399-9999	BEGINNING FUND BALANCE	.00	.00	1,564,380.00	1,564,380.00	.0
TOTAL BEGINNING FUND BALANCE		.00	.00	1,564,380.00	1,564,380.00	.0
TOTAL FUND REVENUE		21,860.54	54,787.97	1,733,560.00	1,678,772.03	3.2

CITY OF HUBBARD
EXPENDITURES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

SEWER CONSTRUCTION FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEXPENDED	PCNT
<u>SEWER CONST FUND EXP</u>					
202-432-7000 CAPITAL OUTLAY	.00	.00	130,000.00	130,000.00	.0
TOTAL SEWER CONST FUND EXP	.00	.00	130,000.00	130,000.00	.0
<u>TRANSFER OUT</u>					
202-491-8000 TRANSFERS OUT	.00	.00	1,650.00	1,650.00	.0
TOTAL TRANSFER OUT	.00	.00	1,650.00	1,650.00	.0
<u>CONTINGENCY</u>					
202-900-9900 CONTINGENCY	.00	.00	19,748.00	19,748.00	.0
202-900-9990 RESERVE FUTURE EXPENDITURES	.00	.00	1,582,162.00	1,582,162.00	.0
TOTAL CONTINGENCY	.00	.00	1,601,910.00	1,601,910.00	.0
TOTAL FUND EXPENDITURES	.00	.00	1,733,560.00	1,733,560.00	.0
NET REVENUE OVER EXPENDITURES	21,860.54	54,787.97	.00	(54,787.97)	.0

CITY OF HUBBARD
 BALANCE SHEET
 SEPTEMBER 30, 2020

SEWER BOND FUND

ASSETS

203-000-1001	CASH IN COMBINED CASH FUND	61,260.75	
203-000-1011	LGIP	(20,609.52)	
	TOTAL ASSETS		<u>40,651.23</u>

LIABILITIES AND EQUITY

FUND EQUITY

203-000-2520	BEG FUND BALANCE	40,279.15	
	UNAPPROPRIATED FUND BALANCE: REVENUE OVER EXPENDITURES - YTD	<u>372.08</u>	
	BALANCE - CURRENT DATE	<u>372.08</u>	
	TOTAL FUND EQUITY		<u>40,651.23</u>
	TOTAL LIABILITIES AND EQUITY		<u>40,651.23</u>

CITY OF HUBBARD
 REVENUES WITH COMPARISON TO BUDGET
 FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

SEWER BOND FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEARNED	PCNT
<u>SEWER BOND REVENUE</u>					
203-300-3611 INTEREST INCOME	5.40	372.08	800.00	427.92	46.5
TOTAL SEWER BOND REVENUE	5.40	372.08	800.00	427.92	46.5
<u>TRANSFERS IN</u>					
203-391-0201 TRANS FROM-SEWER UTILITY FUND	.00	27,243.00	54,486.00	27,243.00	50.0
TOTAL TRANSFERS IN	.00	27,243.00	54,486.00	27,243.00	50.0
<u>BEGINNING FUND BALANCE</u>					
203-399-9999 BEGINNING FUND BALANCE	.00	.00	94,718.00	94,718.00	.0
TOTAL BEGINNING FUND BALANCE	.00	.00	94,718.00	94,718.00	.0
TOTAL FUND REVENUE	5.40	27,615.08	150,004.00	122,388.92	18.4

CITY OF HUBBARD
EXPENDITURES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

SEWER BOND FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEXPENDED	PCNT
<u>DEBT SERVICE</u>					
203-432-9001 LOAN INTEREST	.00	3,884.00	7,406.00	3,522.00	52.4
203-432-9002 LOAN PRINCIPAL	.00	23,359.00	47,080.00	23,721.00	49.6
TOTAL DEBT SERVICE	.00	27,243.00	54,486.00	27,243.00	50.0
<u>CONTINGENCY</u>					
203-900-9990 RESERVE FUTURE EXPENDITURES	.00	.00	95,518.00	95,518.00	.0
TOTAL CONTINGENCY	.00	.00	95,518.00	95,518.00	.0
TOTAL FUND EXPENDITURES	.00	27,243.00	150,004.00	122,761.00	18.2
NET REVENUE OVER EXPENDITURES	5.40	372.08	.00	(372.08)	.0

CITY OF HUBBARD
 BALANCE SHEET
 SEPTEMBER 30, 2020

WATER UTILITY FUND

ASSETS

205-000-1001	CASH IN COMBINED CASH FUND	449,333.27	
205-000-1011	LGIP	53,652.20	
205-000-1800	UB CUSTOMER DEPOSIT	43.16	
	TOTAL ASSETS		503,028.63

LIABILITIES AND EQUITY

LIABILITIES

205-000-2001	A/P LIABILITY	(1,275.02)	
205-000-2021	FEDERAL TAX WITHHOLDING	394.84	
205-000-2022	STATE TAX WITHHOLDING	185.94	
205-000-2023	RETIREMENT	1,791.96	
205-000-2281	UB DEPOSITS	17,060.00	
	TOTAL LIABILITIES		18,157.72

FUND EQUITY

205-000-2520	BEG FUND BALANCE	399,467.35	
	UNAPPROPRIATED FUND BALANCE: REVENUE OVER EXPENDITURES - YTD	85,403.56	
	BALANCE - CURRENT DATE	85,403.56	
	TOTAL FUND EQUITY		484,870.91
	TOTAL LIABILITIES AND EQUITY		503,028.63

CITY OF HUBBARD
 REVENUES WITH COMPARISON TO BUDGET
 FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

WATER UTILITY FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEARNED	PCNT
<u>WATER UTILITY REVENUE</u>					
205-300-3401 SERVICE CHARGES WA	77,983.22	159,300.56	470,625.00	311,324.44	33.9
205-300-3402 CONNECTION CHGS WA	.00	.00	2,000.00	2,000.00	.0
205-300-3403 RECONNECTION FEE	250.29	466.66	2,000.00	1,533.34	23.3
205-300-3404 SALE OF SURP PROP	.00	42.86	.00	(42.86)	.0
205-300-3601 MISCELLANEOUS REVENUE	1,529.64	2,922.85	5,000.00	2,077.15	58.5
205-300-3611 INTEREST INCOME	43.71	143.58	800.00	656.42	18.0
205-300-3620 LEASE-WATER TOWER T MOBILE	658.85	1,976.55	7,200.00	5,223.45	27.5
205-300-3622 VERZION LEASE	1,320.00	3,960.00	15,840.00	11,880.00	25.0
TOTAL WATER UTILITY REVENUE	81,785.71	168,813.06	503,465.00	334,651.94	33.5
<u>BEGINNING FUND BALANCE</u>					
205-399-9999 BEGINNING FUND BALANCE	.00	.00	355,736.00	355,736.00	.0
TOTAL BEGINNING FUND BALANCE	.00	.00	355,736.00	355,736.00	.0
TOTAL FUND REVENUE	81,785.71	168,813.06	859,201.00	690,387.94	19.7

CITY OF HUBBARD
EXPENDITURES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

WATER UTILITY FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEXPENDED	PCNT
<u>WATER UTILITY FUND EXP</u>					
205-461-1100 SALARIES AND WAGES	.00	.00	128,474.00	128,474.00	.0
205-461-1101 DIRECTOR OF ADMIN/RECORDER	328.26	984.78	.00 (984.78)	.0
205-461-1102 FINANCE DIRECTOR	864.10	2,753.08	.00 (2,753.08)	.0
205-461-1105 ADMINISTRATIVE ASSISTANT	2,279.89	6,777.87	.00 (6,777.87)	.0
205-461-1107 UTILITY WORKER 1	2,919.24	8,605.82	.00 (8,605.82)	.0
205-461-1108 PW ADMIN ASSISTANT	529.27	1,645.13	.00 (1,645.13)	.0
205-461-1114 PUBLIC WORKS FOREMAN	1,292.92	4,080.15	.00 (4,080.15)	.0
205-461-4100 EMPLOYEE BENEFITS	.00	.00	83,575.00	83,575.00	.0
205-461-4110 EB-MEDICAL & DENTAL	2,191.36	6,574.04	.00 (6,574.04)	.0
205-461-4120 EB-INSURANCE (LIFE & DISAB)	20.12	60.36	.00 (60.36)	.0
205-461-4150 EB-EMPLOYER TAXES	628.25	1,921.79	.00 (1,921.79)	.0
205-461-4170 EB-PERS	2,507.30	7,620.96	.00 (7,620.96)	.0
205-461-5100 PROFESSIONAL SERVICES	616.97	3,062.94	21,000.00	17,937.06	14.6
205-461-5200 CONTRACTED SUPPORT	956.00	1,257.60	9,000.00	7,742.40	14.0
205-461-5300 OPERATIONAL SUPPLIES	3,831.24	9,521.83	26,500.00	16,978.17	35.9
205-461-6100 BUILDING MAINT & SUPPLIES	356.35	728.34	2,500.00	1,771.66	29.1
205-461-6200 RENTALS AND LEASES	117.32	237.10	2,500.00	2,262.90	9.5
205-461-6300 INSURANCE	.00	12,180.04	13,500.00	1,319.96	90.2
205-461-6400 ADVERTISING & RECRUITMENT	.00	.00	100.00	100.00	.0
205-461-6500 LEARNING, DUES & MEMBERSHIPS	45.00	137.50	5,600.00	5,462.50	2.5
205-461-6600 OFFICE SUPPLIES & MISC EXPENSE	752.10	1,558.07	8,200.00	6,641.93	19.0
205-461-6700 EQUIP MAINT & SUPPLIES	2,618.89	3,358.67	12,900.00	9,541.33	26.0
205-461-6800 UNIFORMS	65.00	127.91	600.00	472.09	21.3
205-461-6900 UTILITIES	4,019.82	10,215.52	38,400.00	28,184.48	26.6
TOTAL WATER UTILITY FUND EXP	26,939.40	83,409.50	352,849.00	269,439.50	23.6
<u>TRANSFER OUT</u>					
205-491-8009 TRANS TO WATER BOND	.00	.00	95,727.00	95,727.00	.0
205-491-8601 TRANS OUT - FRANCH	.00	.00	24,031.00	24,031.00	.0
205-491-8701 TRANS OUT OF OH	.00	.00	30,868.00	30,868.00	.0
TOTAL TRANSFER OUT	.00	.00	150,626.00	150,626.00	.0
<u>CONTINGENCY</u>					
205-900-9900 CONTINGENCY	.00	.00	75,521.00	75,521.00	.0
205-900-9990 RESERVE FUTURE EXPENDITURES	.00	.00	280,205.00	280,205.00	.0
TOTAL CONTINGENCY	.00	.00	355,726.00	355,726.00	.0
TOTAL FUND EXPENDITURES	26,939.40	83,409.50	859,201.00	775,791.50	9.7
NET REVENUE OVER EXPENDITURES	54,846.31	85,403.56	.00 (85,403.56)	.0

CITY OF HUBBARD
 BALANCE SHEET
 SEPTEMBER 30, 2020

WATER CONSTRUCTION FUND

ASSETS

206-000-1001	CASH IN COMBINED CASH FUND	641,905.60	
206-000-1011	LGIP	352,498.27	
	TOTAL ASSETS		994,403.87

LIABILITIES AND EQUITY

FUND EQUITY

206-000-2520	BEG FUND BALANCE	964,161.22	
	UNAPPROPRIATED FUND BALANCE: REVENUE OVER EXPENDITURES - YTD	30,242.65	
	BALANCE - CURRENT DATE	30,242.65	
	TOTAL FUND EQUITY		994,403.87
	TOTAL LIABILITIES AND EQUITY		994,403.87

CITY OF HUBBARD
 REVENUES WITH COMPARISON TO BUDGET
 FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

WATER CONSTRUCTION FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEARNED	PCNT
<u>WATER CONSTRUCTION REVENUE</u>					
206-300-3550	WATER STATIC REVEN	11,373.37	29,622.64	93,634.00	64,011.36 31.6
206-300-3551	SDC-IMPROVEMENT	.00	403.00	2,020.00	1,617.00 20.0
206-300-3552	SDC-REIMBURSEMENT	.00	2,584.00	12,920.00	10,336.00 20.0
206-300-3554	SDC-ADMINISTRATION	.00	327.00	1,650.00	1,323.00 19.8
206-300-3611	INTEREST INCOME	287.16	589.01	4,000.00	3,410.99 14.7
	TOTAL WATER CONSTRUCTION REVENUE	11,660.53	33,525.65	114,224.00	80,698.35 29.4
<u>BEGINNING FUND BALANCE</u>					
206-399-9999	BEGINNING FUND BALANCE	.00	.00	951,968.00	951,968.00 .0
	TOTAL BEGINNING FUND BALANCE	.00	.00	951,968.00	951,968.00 .0
	TOTAL FUND REVENUE	11,660.53	33,525.65	1,066,192.00	1,032,666.35 3.1

CITY OF HUBBARD
EXPENDITURES WITH COMPARISON TO BUDGET
FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

WATER CONSTRUCTION FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEXPENDED	PCNT
<u>WATER CONST FUND EXP</u>					
206-461-7000 CAPITAL OUTLAY	2,747.00	3,283.00	130,000.00	126,717.00	2.5
TOTAL WATER CONST FUND EXP	2,747.00	3,283.00	130,000.00	126,717.00	2.5
<u>TRANSFER OUT</u>					
206-491-8000 TRANSFERS OUT	.00	.00	1,650.00	1,650.00	.0
TOTAL TRANSFER OUT	.00	.00	1,650.00	1,650.00	.0
<u>CONTINGENCY</u>					
206-900-9900 CONTINGENCY	.00	.00	914,794.00	914,794.00	.0
TOTAL CONTINGENCY	.00	.00	914,794.00	914,794.00	.0
TOTAL FUND EXPENDITURES	2,747.00	3,283.00	1,046,444.00	1,043,161.00	.3
NET REVENUE OVER EXPENDITURES	8,913.53	30,242.65	19,748.00	(10,494.65)	153.1

CITY OF HUBBARD
 BALANCE SHEET
 SEPTEMBER 30, 2020

WATER BOND FUND

ASSETS

207-000-1001	CASH IN COMBINED CASH FUND	25,880.91	
207-000-1011	LGIP	9,419.21	
	TOTAL ASSETS		<u>35,300.12</u>

LIABILITIES AND EQUITY

FUND EQUITY

207-000-2520	BEG FUND BALANCE	83,138.38	
	UNAPPROPRIATED FUND BALANCE: REVENUE OVER EXPENDITURES - YTD	(47,838.26)	
	BALANCE - CURRENT DATE	(47,838.26)	
	TOTAL FUND EQUITY		<u>35,300.12</u>
	TOTAL LIABILITIES AND EQUITY		<u>35,300.12</u>

CITY OF HUBBARD
 REVENUES WITH COMPARISON TO BUDGET
 FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

WATER BOND FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEARNED	PCNT
<u>WATER BOND REVENUE</u>					
207-300-3611 INTEREST INCOME	7.67	25.21	80.00	54.79	31.5
TOTAL WATER BOND REVENUE	7.67	25.21	80.00	54.79	31.5
<u>TRANSFERS IN</u>					
207-391-0251 TRANS FROM-WATER UTLITY FUND	.00	.00	95,727.00	95,727.00	.0
TOTAL TRANSFERS IN	.00	.00	95,727.00	95,727.00	.0
<u>BEGINNING FUND BALANCE</u>					
207-399-9999 BEGINNING FUND BALANCE	.00	.00	83,127.00	83,127.00	.0
TOTAL BEGINNING FUND BALANCE	.00	.00	83,127.00	83,127.00	.0
TOTAL FUND REVENUE	7.67	25.21	178,934.00	178,908.79	.0

CITY OF HUBBARD
 EXPENDITURES WITH COMPARISON TO BUDGET
 FOR THE 3 MONTHS ENDING SEPTEMBER 30, 2020

WATER BOND FUND

	PERIOD ACTUAL	YTD ACTUAL	BUDGET	UNEXPENDED	PCNT
<u>DEBT SERVICE</u>					
207-461-9001 BOND INTEREST	3,986.66	3,986.66	7,333.00	3,346.34	54.4
207-461-9002 BOND PRINCIPAL	43,876.81	43,876.81	88,394.00	44,517.19	49.6
TOTAL DEBT SERVICE	<u>47,863.47</u>	<u>47,863.47</u>	<u>95,727.00</u>	<u>47,863.53</u>	<u>50.0</u>
<u>CONTINGENCY</u>					
207-900-9990 RESERVE FUTURE EXPENDITURES	.00	.00	83,207.00	83,207.00	.0
TOTAL CONTINGENCY	<u>.00</u>	<u>.00</u>	<u>83,207.00</u>	<u>83,207.00</u>	<u>.0</u>
TOTAL FUND EXPENDITURES	<u>47,863.47</u>	<u>47,863.47</u>	<u>178,934.00</u>	<u>131,070.53</u>	<u>26.8</u>
NET REVENUE OVER EXPENDITURES	<u>(47,855.80)</u>	<u>(47,838.26)</u>	<u>.00</u>	<u>47,838.26</u>	<u>.0</u>

Monthly Revenue Overview

Total YTD Revenues
\$195,107

Variance to Budget \$16,016

FAVORABLE

YTD Taxes
\$10,356

Variance to Budget \$-4,379

UNFAVORABLE

YTD Franchise Fees
\$26,076

Variance to Budget \$-933

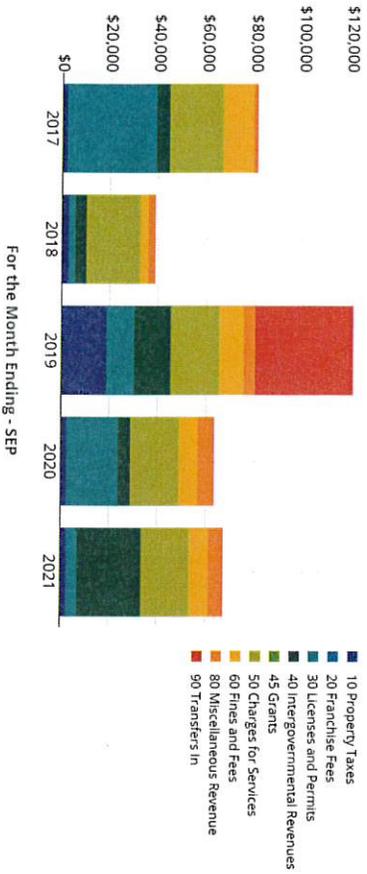
UNFAVORABLE

YTD Intergovernmental
\$42,829

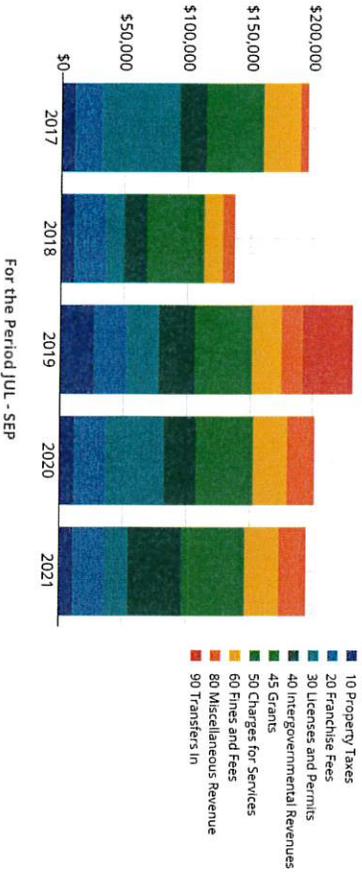
Variance to Budget \$14,564

FAVORABLE

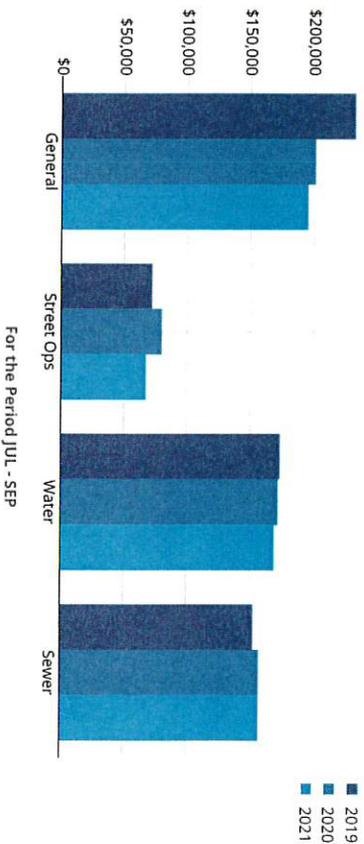
Historical Revenues for Current Month



Year to Date Revenues by Source



Year to Date Revenues by Fund



Sources of Revenue - YTD

Source	For the Period JUL - SEP				
	2017	2018	2019	2020	2021
Charges for Services	\$45,079	\$45,399	\$45,231	\$45,567	\$44,269
Fines and Fees	\$29,581	\$15,058	\$23,375	\$27,216	\$27,286
Franchise Fees	\$22,193	\$25,714	\$26,022	\$25,853	\$26,076
Grants	\$0	\$0	\$398	\$0	\$5,514
Intergovernmental	\$21,713	\$18,108	\$28,527	\$25,310	\$42,829
Licenses and Permits	\$60,152	\$13,534	\$24,725	\$45,283	\$17,606
Miscellaneous	\$5,517	\$8,799	\$16,454	\$20,756	\$21,170
Property Taxes	\$10,689	\$10,484	\$26,756	\$10,964	\$10,356
Transfers In	\$0	\$0	\$40,498	\$0	\$0

Monthly Expenditure Overview General Fund

Total YTD Expenses
\$428,632

Variance to Budget \$-69,158

FAVORABLE

YTD Salaries & Benefits
\$300,359

Variance to Budget \$-14,501

FAVORABLE

YTD Purchased Services
\$23,819

Variance to Budget \$-9,572

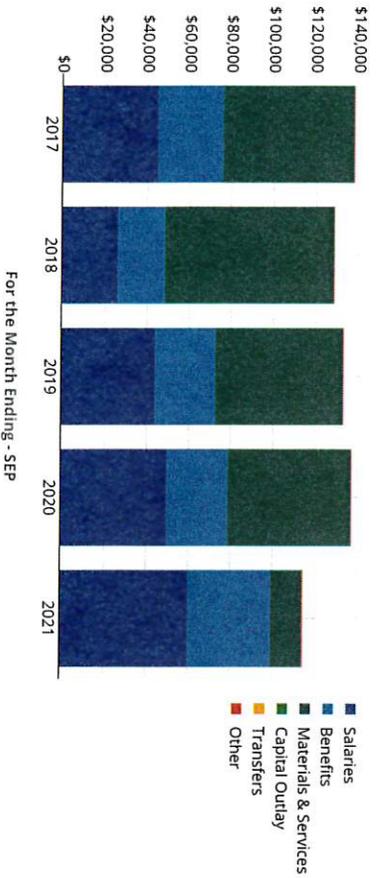
FAVORABLE

YTD Other Expenses
\$104,454

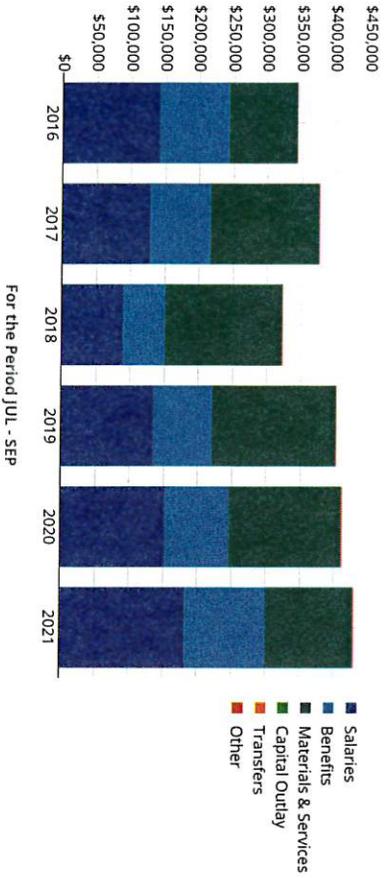
Variance to Budget \$-45,084

FAVORABLE

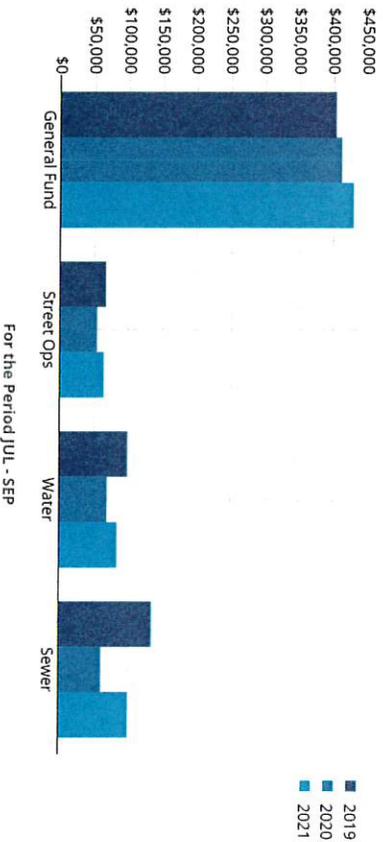
Historical Expenses for Current Month



Year to Date Expenses by Object



Year to Date Expenses



Detail Object

Detail Object	For the Period JUL - SEP				
	2017	2018	2019	2020	2021
Salaries	\$128,306	\$88,710	\$134,151	\$151,859	\$181,945
Benefits	\$88,005	\$61,668	\$86,260	\$94,291	\$118,414
Services	\$106,233	\$119,317	\$115,419	\$103,383	\$61,783
Supplies	\$16,498	\$13,880	\$23,478	\$20,579	\$25,304
Utilities	\$5,205	\$5,878	\$6,260	\$6,439	\$6,851
Program Expenses	\$482	\$174	\$0	\$366	\$589
Capital	\$0	\$0	\$0	\$0	\$0
Other	\$30,586	\$32,973	\$37,409	\$34,037	\$33,746
Transfers	\$0	\$0	\$0	\$0	\$0

- MONTHLY REPORT -

DATE: **October 13, 2020**
TO: **City Council**
FROM: **Public Works Department**

ITEM #1 On the Agenda is a discussion item for the pending Water Project. Please see the attached, updated cost estimate.

ITEM #2 Staff has finalized the City Hall interior paint and flooring project and is now in the scheduling coordination phase of this project with both contractors, the City's I.T. and the Police and Admin departments.

ITEM #3 The pilot pedestrian crossing safety flags have been installed on "D" Street. A Facebook post will go out asking for feedback from our community. If Council makes the decision in the future to add additional flags in other areas, printed flags will be purchased.

ITEM #4 A huge shout-out to Matt Fryauf and his team of volunteers for their work on the disc golf course at the Jan LaFollette Memorial Nature Park!!

ITEM #5 At the time I am writing this report, the signage contractor is wrapping up the signs for City Hall, and should be scheduled for install within a couple weeks.

ITEM #6 ODOT has determined that the City will need to complete the ADA ramp improvements on Pacific Hwy. 99E and "G" Street as part of the SCA project. Staff is currently working with ODOT's State-wide ADA Project Team to coordinate the completion of this ramp and to avoid duplication of work. Additional detailed information will be confirmed in the near future.

ITEM #7 The "G" Street Phase Two Planter Project is moving forward. Area outreach was completed, and planter pots with low-maintenance shrubs and decorative grass along with decorative shale rocks will be strategically placed along the planter strip between Pacific Hwy. 99E and 2nd Street. Plants are on-hold, and the pots should arrive no later than the first week of November.

ITEM #8 Staff has approved a third library station request from a local resident on 1st Street close to the Post Office. It will be located on her property adjacent to the City right-of-way.

ITEM #9 The 5th Street SCA project construction is set to move forward the week of October 12.

ITEM #10 A huge shout-out to Ken and Linda Kleczynski for their work to replace the Walnut Vale park sign which was in very poor condition!! Staff anticipates the signage will be completed and hung in the next few weeks.

<p>The Public Works Department completed 18 requests for locates for the month of September.</p>

**CITY OF HUBBARD
CITY COUNCIL MEETING MINUTES
SEPTEMBER 15, 2020**

CALL TO ORDER: The Hubbard City Council meeting was called to order by Mayor Charles Rostocil at 7:00 p.m. via ZOOM due to the wildfires and COVID-19.

FLAG SALUTE: Mayor Charles Rostocil led the group in reciting the Pledge of Allegiance.

CITY COUNCIL PRESENT: Mayor Charles Rostocil, City Councilor Robert Prinslow, City Councilor Tyler Thomas, City Councilor James Audritsh, City Councilor Michelle Dodge.

STAFF PRESENT: Director of Administration/City Recorder Vickie Nogle, Finance Director Judy Smith, Public Works Superintendent Michael Krebs, Police Chief Dave Rash, Public Works Administrative Manager Melinda Olinger, Administrative Assistant / Court Clerk Julie Hedden, City Engineer Matt Wadlington, City Attorney Ashley Driscoll.

OTHER ATTENDEES: Andrew Sprauer (Attorney for James Halbirt), Peter Kooiman, Helen Kooiman, James “Ricky” Halbirt, Carole Brock.

PROCLAMATION – DECLARING SEPTEMBER AS NATIONAL PREPAREDNESS MONTH. Mayor Charles Rostocil read the proclamation and declared September as National Preparedness Month.

DISCUSSION REGARDING PROPERTY TAX EXEMPTION – Hubbard City Attorney. City Attorney Ashley Driscoll said there is an email in the packet from her partner Chad Jacobs answering a question about a property tax exemption for non-profits doing low income housing. She said this is not a mandatory program, it is for low income housing and the City can decide how that is defined and the City can make the policy choice that it wants to encourage low income housing within the community by enacting this tax exemption. A Driscoll said if the City was going to do this, the steps would be that an Ordinance would be prepared and then brought to the City Council for review and discussion which would include how low-income households would be defined. The Statute provides two ways to define it, the first way is that 60% of the median income for the area for the first year and every year after that, the second way is that 60% of the median income for the area for the first year and then raise it to 80% after that.

Director of Administration/City Recorder Vickie Nogle said this came about because she received an email and a letter that was presented to the City Council, from a non-profit group requesting for the exemption.

Mayor Charles Rostocil asked Director of Administration/City Recorder Vickie Nogle and Finance Director Judy Smith if there were any tax-exemptions currently within the City.

Director of Administration/City Recorder Vickie Nogle and Finance Director Judy Smith both answered there is not.

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Mayor Charles Rostocil asked City Attorney Ashley Driscoll who is responsible for the property taxes that are not for the City, is this just City imposed property taxes or would this include other taxes such as school and County.

City Attorney Ashley Driscoll responded the City is only making the decision for the City but would assume they could make the same request of the County or any other Government entity.

Carole Brock said she represents Caritas Corporation a 501c3 out of California, and they are buying 7 mobile home parks in Oregon and all of their funding is through public financing bonds. She stated their goal is to keep the cost of housing affordable for all the residents in their properties. C. Brock said they also are very involved in fostering and benefiting the Community through education programs, scholarship programs, community development, etc., and have been very successful in California. She said she is here tonight because this is a local jurisdiction based on the Statute and Caritas is asking the City of Hubbard to consider this exemption.

Mayor Rostocil asked Finance Director Judy Smith what the financial impact to the City would be if a tax-exemption was granted.

Finance Director Judy Smith said she does not know and would need to research it.

Finance Director Judy Smith asked Carole Brock if she is looking at getting pass through grants from the County on this because they are a 501c3.

Carole Brock responded they were not and were only looking at getting an exemption.

City Councilor James Audritsh said he wondered what would stop this corporation from re-selling if they found it was not financially feasible and then the next buyer raises the rent. He stated he also understands these two parks in Hubbard will still be impacting the City Services and we may be asked to grant more and more exemptions, so it might be opening a Pandora's Box.

City Councilor Michelle Dodge said her concerns are the same as Councilor Audritsh, and she also said our City does not have a lot of funds coming in and how will this affect the budget. She asked if this will conflict with the 3-year grant that we are looking at that has to do with low-income housing.

City Councilor Tyler Thomas said his main concern is that we would be giving tax exemptions in Oregon to a company that resides in California.

City Councilor Robert Prinslow said his concern is that if the City were to approve this exemption on these properties, what is the owner planning to do to benefit the people that reside in their properties.

Carole Brock said the letter included in the packet from Caritas should provide answers to some of these concerns. She stated their goal is to maintain affordable housing, foster community within the mobile home parks, and they are in this for the long-term, this is not a short-term

PAGE 3 – CITY COUNCIL MEETING MINUTES SEPTEMBER 15, 2020

investment for them. C. Brock said one way they maintain the affordable housing is by getting breaks where they can and the rent that is collected goes to pay the public financing bonds, which is their sole source of income.

City Attorney Ashley Driscoll said according to the Statute the City Council can make other restrictions on participating, as long as they don't conflict with other areas of the Statute, so if the Council is interested in this program, other additional requirements could be explored.

Mayor Rostocil said we need to understand the financial impact to the City and asked Finance Director Judy Smith to provide the City Council this information. He went on to ask City Attorney Ashley Driscoll if we put this exemption in to place would the City be liable to pay the other taxes such as school, county, state, fire, etc.

City Attorney Ashley Driscoll said the City would only report to the County Tax Assessor that the City is not imposing these taxes and that those taxes would not be paid to the City of Hubbard, therefore the City would not be liable for any other taxes.

Finance Director Judy Smith said she will get with Director of Administration/City Recorder Vickie Nogle to get all the information she needs and will send out an email to the City Council.

City Councilor Michelle Dodge asked if the individuals that own a home within the mobile home park pay a property tax also or is that covered by the owner of the park.

Director of Administration/City Recorder Vickie Nogle said the property taxes are typically paid by the owner of the park since it is all one lot.

Finance Director Judy Smith will also find out if the individuals will still have to pay taxes on the dwellings that they are renting.

Carole Brock said it is her understanding that Manufactured homes are personal property and not real property, so she agrees with Vickie.

Mayor Rostocil said they will table the discussion until the next City Council meeting when they will have additional information from Finance Director Judy Smith regarding the financial impact this will have on the City.

City Councilor Dodge asked Carole Brock if the company already owns the property in question, or are they looking to purchase it.

Carole Brock said the company will purchase the property regardless of the outcome decided.

Mayor Charles Rostocil said he would like any additional questions from City Councilors for Carole Brock to go through Director of Administration/City Recorder Vickie Nogle.

PUBLIC HEARINGS.

A) Continued from June 9, 2020 – City of Hubbard – Sewer Reimbursement District (Kooiman Estates Subdivision) – Matt Wadlington, Civil West Engineering.

Mayor Charles Rostocil continued the Public Hearing from June 9, 2020 at 7:31 p.m.

Director of Administration/City Recorder Vickie Nogle said the packet that was provided to the City Council on September 8th, did not include the additional information that was emailed out prior to delivery of the packet. She stated one was labeled Kooiman Estates from Multi/Tech and the other was a Resolution. She said the packet for the 15th that is uploaded electronically does include those submittals.

Mayor Charles Rostocil said he had a couple of questions regarding this reimbursement district, the first question, does City Council have the authority to establish a district that is not within the City Limits or included in the Urban Growth Boundary. Mayor Charles Rostocil said he is not disagreeing at some point in time there was some sort of an agreement that there would be reimbursement put in place for the development organization that was putting in the sewer pipe. C. Rostocil said he had a chance to go to Ricky's property, meet with his neighbors, and walk the property, and he was surprised by how extensive it was.

Mayor Rostocil said the amount of the reimbursement has changed, and asked City Engineer Matt Wadlington if he had an opportunity to go to the property and see how the lots in question are actually buildable.

City Engineer Matt Wadlington said he did not have a chance to do that and the revised numbers were based on the discussion on the Sewer Master Plan that was approved a few years ago.

Councilor James Audritsh asked if this was to reimburse the latest new subdivision that went in on 4th Street, the one that the difference in pipe size and cost was discussed. He went on to ask if we are at bare bones numbers now, or if what was discussed a year ago is completely thrown out.

Public Works Superintendent Mike Krebs said the numbers you see in front of you now are just for the oversized extended 10" pipe, the developer decided to throw out the 8" pipe running from Kooiman Estates to 4th Street.

Mayor Rostocil said the City, working with Engineer Matt Wadlington, put in this sewer extension, and the question is, why are we not putting this burden of reimbursement on the yet to be started subdivision on Tax lot 100.

Public Works Superintendent Mike Krebs said that if the smaller 3 lots (701, 2700, 2800) were to annex into the City and hook into that sewer line, whatever development they put in, puts a larger burden on the system itself and that is what they are paying for, their use of the system, that is if they annex their property within the next 15 years.

Mayor Rostocil asked if the System Development Charges (SDC's) are added on top of the reimbursement, why then are those SDC not being used to pay for the sewer, to offset the cost.

Public Works Superintendent Mike Krebs said at the time that would have been something to look into, but if you did not have this sewer line in place, then they would have to pay the cost of any infrastructure they would need to put in at the time they annex in and that would be more costly for them.

Director of Administration/City Recorder Vickie Nogle said it is her understanding that the SDC's are the impact of what that specific building or construction will have on the systems but does not include the cost construction of those systems.

Mayor Rostocil opened the hearing for public comment.

Andrew Sprauer, Attorney for James Halbirt, said that not only is his client's property, Tax lot 2700, not developable as wetlands, but the lower part of the property if developed would not hook into these improvements, they would link into other improvements on Front Street. He went on to say the way this reimbursement district is worded, it is correct if they annex in, but even certain basic building applications, connections to city streets and things like that, would not require them to hook into this improvement, under the terms of this current reimbursement district could still trigger these costs even though they would be receiving no benefit from it, so at the very least we would like to see this resolution contain a provision requiring that these properties, 2700 and possibly 2800, that hooking into the system should be a requirement for requiring some type of reimbursement, otherwise, without a direct benefit, they are being asked to reimburse a much larger sewer improvement that they are receiving no benefit from.

Andrew Sprauer, Attorney for James Halbirt, said he is also concerned about the area proration of the costs where his client has a large property, but only a portion of it is developable and another portion of his developable portion of his property would hook into other City improvements, not these improvements, and yet we have these new numbers from Matt Wadlington, the previous projections until now, his client would have an even higher burden, but the cost has gone down for tax lot 100 and Kooiman, but the cost going up for tax lots 2700, 2800 and 701 which are the not densely build, nor are they the properties hook in to this.

City Engineer Matt Wadlington said he sat down with Public Works Superintendent Mike Krebs and the discussion was that if the property was developed they would still need to go across the street to get into the existing pump station, and they would be able to gravity sewer into it.

Public Works Superintendent Mike Krebs concurred and said because of where the industrial lift station sits, he would be hooking into the improvements that we are talking about, before they drop into the pump station, because there would be enough gravity flow coming down from where his house is to pick up anything he would want to build on the buildable portion of the property.

Mayor Rostocil asked when the reimbursement district was being authored, what is the reason that we put in the permits that were anything other than connecting to the sewer, such as a building permit to put in a driveway or anything else.

Public Works Superintendent Mike Krebs said that goes with City Codes.

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Mayor Rostocil asked if SDC's were paid every time you pull a permit.

Public Works Superintendent Mike Krebs said SDC's are only paid if you hook up to the water and/or sewer.

Mayor Rostocil asked if there is a reason why we would not limit and trigger this reimbursement after annexation into the Cities Urban Growth Boundary and a building permit was issued that required hook ups into the various services.

Public Works Superintendent Mike Krebs said the reason it is written the way it is, because it is following our guidelines and construction standards.

Director of Administration/City Recorder Vickie Nogle said the Attorney wrote this based from City Codes.

Public Works Superintendent Mike Krebs said the City Code lists the reasons for triggering this, which is any type of development, but they would have to have annexed into the City before this would happen.

Andrew Sprauer, Attorney for James Halbirt, said these sewer improvements for Kooiman Estates, and the expanded pipe extending to Tax Lot 100, those were improvements that were required regardless of any potential development of Tax Lot 2700 or Tax Lot 2800. A. Sprauer continued to say if those improvements were hooked into by Tax Lot 2700 after annexation into the City, they would still pay their additional SDC's for hooking into that. He stated if they didn't, those costs were still required in order for those two subdivisions to be developed, and that is why he said he questions why Tax Lot 2700 and Tax Lot 2800 are even being included in these.

City Engineer Matt Wadlington said the Master Plan that was done for this area included Tax Lots 2700, 2800, 701 and 100 all as one total acreage that would need to have sewer. He said it did not break it out into different areas. M. Wadlington went on to say he agrees the impact from a smaller acreage is going to be smaller, but it is still a portion of the total sum, which is why it is broken down on a per acre basis.

Councilor James Audritsh said he still feels the cost is very high compared to what he felt like they were led to believe when this was first brought before the City Council.

Councilor Robert Prinslow asked if the City Council has to allow this reimbursement district to actually continue.

Director of Administration/City Recorder Vickie Nogle said it is not a requirement.

Mayor Charles Rostocil said he understands why these tax lots were included, but he feels the cost is high and he has reservations about establishing a district and impacting properties that are not within the jurisdiction of our own City.

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Councilor Prinslow asked City Staff if it is a requirement when a property is annexed into the City that they must connect to City services.

Public Works Superintendent Mike Krebs said yes, if they annex into the City, they must connect to services according to City Code.

Councilor Robert Prinslow stated he does not like the way this reimbursement district is written, he understands the need to include Tax Lot 2700 & 2800, but does not like the fact that if they were to put in a driveway to attach to a City street, or they want to put in an outbuilding that does not require water or sewer, that they would have to pay these fees.

Public Works Superintendent Mike Krebs said the way it is now, they are not within the City limits so if they wanted to put in a driveway or anything else, they are permitted through Marion County, we do not deal with that until they make the decision to annex in to the City, the cost for the sewer improvements are not triggered until they annex into the City.

Mayor Charles Rostocil said he does not recall City Council ever being presented with the cost of this upgrade, or potential cost for reimbursement in the last 3 years.

Public Works Superintendent Mike Krebs said the cost for this has not been presented until now, they hadn't seen any numbers on this until recently.

Mayor Charles Rostocil asked if they needed to come to a decision tonight.

Director of Administration/City Recorder Vickie Nogle said they do not need to make a decision tonight; it can be tabled and held over for further discussion.

Mayor Charles Rostocil said he thinks it deserves action for Matt and the homeowners, but he is not ready to vote on this today but does not want to keep this hearing open.

Helen Kooiman, the owners of Tax Lot 701, wanted to get clarification on the new document that says Tax Lot 701 has been paid by the developer under separate agreement. Helen Kooiman said she interprets that as putting to rest anything they would owe because it recognizes they had a separate agreement and are already annexed into the City.

Public Works Superintendent Mike Krebs said he was provided with a document that was signed by both parties at the time the development went in. He said it states the Kooimans would be afforded fully functional lots.

Helen Kooiman said that was part of the agreement they had with the developer and they have already put in the larger line that was talked about in the June meeting. She stated this also applies to lots 19, 20, and 21 on the north end of Kooiman Estates.

City Engineer Matt Wadlington said he agrees there is no additional fee for them, there was an agreement made between the developer of Kooiman Estates and the Kooimans who own the 1.26 acre parcel, and as he understands it, that obligation has been paid/accepted. He went on to say

the 1 acre parcel was included in the overall acreage for the reimbursement district as described in the Sewer Master Plan that was adopted 3 or 4 years ago. M. Wadlington said he wanted to make sure 1 acre was included and part of the overall distribution of those cost, so the total denominator would be accurate in accordance with the Master Plan.

Andrew Sprauer, Attorney for James Halbirt, said in looking at the numbers on City Engineer Matt Wadlington's August 26 letter, it references under item 4, a total reimbursement of \$229,344.90, but if you add the purposed reimbursement column of his chart on page 2, it actually totals \$229,377.90, so there is a small discrepancy on those numbers.

City Engineer Matt Wadlington stated the discrepancy between the total amounts is a rounding error, and he will be happy to clean that up.

Mayor Charles Rostocil said he is agreement we need to put some sort of reimbursement district in, but he does feel the numbers still seem to be off. He stated he is also concerned about buildable vs. non-buildable lots that are included. C. Rostocil said he does not understand why the numbers were adjusted down for Tax Lots 100, but increased some of the others. He stated he is not happy with the way the Resolution is written, and would like to have time to discuss with City Council on what the Resolution wording should be.

City Councilor James Audritsh said he agreed with Mayor Charles Rostocil regarding his concerns.

City Councilor Tyler Thomas said he agreed with a lot of what Mayor Charles Rostocil said, and added he thinks the sooner a decision can be made the better because this issue has been going on for quite some time now. T. Thomas stated it is only fair that a decision gets made within the next 30 days.

City Councilor Robert Prinslow said he is ready to put this to a vote tonight, but if the rest of the City Council wants to table it until next meeting that is fine with him.

City Councilor Tyler Thomas said he is fine with voting tonight as well.

Mayor Charles Rostocil asked if there were any additional questions from the City Council, Staff, or anyone.

Mayor Charles Rostocil closed the hearing at 8:14 p.m.

Councilor Tyler Thomas said before a motion is made, he wants to make sure everyone is in agreement, that only tapping into those services would trigger this.

Mayor Charles Rostocil said that sounds correct, but then the Resolution would have to be redone.

Public Works Superintendent Mike Krebs state he does not believe it would be, because the only way to trigger hooking into these improvements would be by annexing into the City, if you don't

want to pay the fee or hook into the services, then don't annex into the City. He said the way the Code is written, once you annex in, you are required to hook into city services, the annexation itself would trigger the payment of the reimbursement district.

1) Draft Resolution 693-2020. Reimbursement District Resolution.

MSA\City Councilor Tyler Thomas\City Councilor Robert Prinslow moved to draft Resolution 693-2020 approving a Reimbursement District as written. City Councilor Robert Prinslow, City Councilor Tyler Thomas, City Councilor Michelle Dodge and City Councilor James Audritsh were in favor. Mayor Charles Rostocil was against. Motion passed with a 4 -1 vote.

MAYOR'S AND/OR COUNCIL'S PRESENTATIONS. Councilor James Audritsh thanked everyone for their support during the wildfires.

Mayor Charles Rostocil said he was very impressed seeing the community come together during the past week with individuals helping to fight fires, donating items, and helping to evacuate animals.

Councilor Michelle Dodge recognized Ally Sobo for helping to organize the donations to the fire department and for the community.

Mayor Charles Rostocil also recognized Whitney Workman for all her help getting donations together during this time.

DISCUSSION REGARDING PERSONNEL EVALUATION PROCESS. Mayor Charles Rostocil said he liked the performance appraisal that was included in the packet from the City of Hillsboro. He said one of the problems with how the evaluations were done with the City of Hubbard Department Heads was the City Council tried to get it done all in one night without any review or pre-work going into it. C. Rostocil said when they did the follow-up with one of the Department Heads, they were able to provide a much more detail evaluation.

Mayor Charles Rostocil suggested the personnel evaluations start in October requesting from the Department Heads a written evaluation from them based off of the previous year, which could be a simple letter or a 3X3 which would include, 3 best accomplishments, 3 strengths, and 3 areas to develop; peer evaluations should also be included, with Department Heads giving input to the City Council in the same type of format. He went on to say that after this information is received in October, then the reviews would be in November, and based off of those reviews identify a merit increase if one is warranted.

City Councilor Tyler Thomas said he wants to have the performance rating system be a 1-5 scale, instead of a 1-4 scale, with 3 being the median, or meets standards. He went on to say he feels this would make it easier to evaluate performance and would make it fairer.

Finance Director Judy Smith said the way policy reads, there is a yearly step increase and she asked how this would be handled for newer employees.

Director of Administration/City Recorder Vickie Nogle said the policy says there is an annual evaluation and it says that the Department Heads evaluations are done in May and the City Council can change that date for Department Heads to align with their annual anniversary dates if they choose to do so.

Mayor Charles Rostocil said what he is proposing is every time we do an evaluation we do the due diligence to get the 360/peer review in for each Department Head. He stated the review would be in November, all in one night in one executive session, but we could also then schedule it for the Department Head to come in one at a time.

City Councilor Michelle Dodge said she agrees with City Councilor Tyler Thomas there needs to be five different ranges. She said it might be conducive if there was a mid-year evaluation done as well.

Mayor Charles Rostocil agreed and said that it would make it easier for the Department Heads to get the feedback sooner.

City Councilor Robert Prinslow asked if there was anything that prohibited them from having a mid-year evaluation.

Director of Administration/City Recorder Vickie Nogle said there was not but possibly there could be an issue for future City Council because the process is not yet in writing.

Mayor Charles Rostocil agreed with Director of Administration/City Recorder Vickie Nogle that it could be tried for a year and see how it goes, then update the policy if needed.

Finance Director Judy Smith said one of her concerns was the City Council didn't recognize the duties that were performed by each individual Department Head, so maybe City Council needs to review the job duties prior to the evaluation.

Director of Administration/City Recorder Vickie Nogle said the job descriptions were provided to all of the City Council so they would know what all of the duties of each department head would include.

Finance Director Judy Smith stated in her last evaluation she did not feel like the City Council knew what duties and responsibilities were included for each Department Head.

City Councilor Michelle Dodge said when they receive the information in October, 360 evaluation/peer reviews, and job descriptions for each Department Head could be included. She continued to say, so when they do the reviews in November they will have a better understanding and do review based off of all the information they have.

City Councilor James Audritsh said by doing the 360 review, having peer evaluations, they will have more information to be able to make a better assessment during the evaluations.

Finance Director Judy Smith agreed the 360 is a good way to go with the performance evaluations.

Mayor Charles Rostocil said we need to come up with a better performance appraisal and he asked if there was a City Councilor that would like to volunteer to do that.

City Councilor Michelle Dodge said she would be willing to take that on and help define a better appraisal.

Consensus of the City Council was given to have City Councilor Michelle Dodge come up with a better performance evaluation.

Mayor Charles Rostocil said he will write up everything that was mentioned in the discussion regarding the performance evaluation with a timeline and send it out to everyone, probably tomorrow morning.

STAFF REPORTS:

HUBBARD FIRE DISTRICT – Chief Joseph Budge. Chief Joseph Budge was not in attendance. No report given.

POLICE DEPARTMENT- Police Chief Dave Rash. Police Chief Dave Rash said National Night Out has been rescheduled to October 6, but there is a possibility of it being cancelled because of COVID-19 restrictions. Chief Dave Rash also said one of his officers is in background with another agency, and will probably be with them by November, so he is asking the City Council if we can start the process of hiring once he receives a conditional offer.

There was a consensus of the City Council to start the hiring process for the Police Officer position.

Police Chief Dave Rash said he will get with Judy to see if there is any issue on the financial side of filling this position.

ADMINISTRATION DEPARTMENT – Director of Administration/City Recorder Vickie Nogle. Director of Administration/City Recorder Vickie Nogle said the awning that was purchased for the window was not adequate for snow load and wind speed to meet the Oregon permit requirements. V. Nogle said she is looking for another awning that is similar that will meet the State requirements.

Director of Administration/City Recorder Vickie Nogle said due to the air quality we have been trying to get the work done at City Hall, and then boxing up files and taking what we can to work remotely. Director of Administration/City Recorder Vickie Nogle stated not all employees can work remotely. She stated her concern is the air quality in the building is not very good, and the employees that could not take their work home did not want to take sick leave or vacation time. She said some do not have a chance to accrue comp time, so her question is how the City Council would like City Staff to proceed.

Mayor Charles Rostocil said he feels anyone that cannot telecommute in should use sick time, comp time, or any leave time they have accrued.

Finance Director Judy Smith said if it is not safe to work, would it not be covered by the City.

Mayor Charles Rostocil said his assumption is that if you cannot work from home, and City Hall is closed for some reason that you are sent home, the employee would use their sick time or accrued leave time. Mayor Rostocil said it is an unfortunate event, but the City is not liable to pay wages if an individual is not able to come to work, unless they are under union contract.

City Councilor Robert Prinslow asked if there was an option to wear N95 masks, and if the City provided them.

Finance Director Judy Smith said that we don't necessarily have the N95 and possibly they are available, but it's the fact the air quality inside the building is unhealthy and we are not getting any fresh air, the bad air is circulating.

City Councilor Robert Prinslow stated that is her opinion that it is bad air, there has been no testing, and the first option would be to try and get equipment so the employees could continue working, and if that is not possible then we should look at closing City Hall.

Finance Director said she understands, but because it is an old building, there may be very hazardous air circulating through it.

Mayor Charles Rostocil said he does not disagree with City Councilor Robert Prinslow or Finance Director Judy Smith, and the reason the decision was made to close City Hall last week is because the air was unhealthy. He state that he had a discussion with Director of Administration/City Recorder Vickie Nogle about changing the furnace filters, but he does not anticipate that we continue to shut City Hall down for poor air quality much more than a few more days.

Police Chief Dave Rash said we received 1000 N95 masks, and one thing to consider is if an employee is getting sick because of the air quality, it may be a liability towards the City.

Mayor Charles Rostocil said that is why the employees were sent home.

City Councilor Michelle Dodge said at her job, if someone can work from home they do, if they cannot work from home, they take sick time.

City Councilor Tyler Thomas said he does not advocate for anyone to work in hazardous conditions, but there may be remedies to help those conditions. T. Thomas stated we should do everything we can to make the building as safe as possible for the employees.

Director of Administration/City Recorder Vickie Nogle said she has scheduled to have the filter replaced, but they cannot get out her until next Thursday. She said even though has been wearing her mask, she is still getting a headache and other inhalation symptoms being in the

building. V. Nogle stated she appreciates the City Council allowing those that can remote in to remote in, but her concern is the person that was not able to remote in does not want to take their leave, and is concerned they will stay in an unhealthy environment because they do not want to use their time.

Finance Director Judy Smith agreed with Director of Administration/City Recorder Vickie Nogle.

Mayor Charles Rostocil said that is a personal option to take that leave, and if they don't want to use it and has no other option than to stay, then they either don't come into work because it is closed, or they come in and do the best they can with taking the precautions that are available to them.

City Councilor James Audritsh asked if we were looking at making this retroactive, or he is correct in assuming that we are talking about this from this point forward.

Finance Director Judy Smith said that is correct, from this point forward.

City Councilor James Audritsh said that he does know City Hall is old and smoke does get in and we have made it clear we do not want people to remote in on a daily basis, but the smoke does create a special hazard. He stated he feels if someone is not feeling well at work because of it, then that is one of those very few exceptions, and if things are getting hazardous, then we should leave it to the Department Heads to determine that.

The City Council majority was if an employee can't remote in, they must take sick time or other leave time.

Mayor Charles Rostocil thanked Director of Administration/City Recorder Vickie Nogle for getting the live streaming up.

FINANCE DEPARTMENT – Finance Director Judy Smith. Finance Director Judy Smith said the auditors sent in their draft proposal and is reviewing that currently so that should be taken care of soon. J. Smith stated the audit went very well, and she will be getting with Director of Administration/City Recorder Vickie Nogle to see if she has any questions or concerns because she was copied on the draft also.

Finance Director Judy Smith said there are four employees over their vacation accrual, but we have until December 31st to get those down to 240 hours. She stated each department does have a plan to get those accruals down.

Finance Director Judy Smith said there was an issue with the utility billing regarding Transportation Rates Resolution, it was not included in the amount that would be offset by the static water pressure fee per the request of the Budget Committee and City Council, which it increases the utility bills by \$0.12. Finance Director Judy Smith stated she is asking for direction from City Council if they want to keep the increase or adjust the ISP fee down \$0.12.

There was a consensus by the City Council to keep the \$0.12 difference.

Finance Director Judy Smith said she wanted it to go on the record that Director of Administration/City Recorder Vickie Nogle found the discrepancy.

Finance Director Judy Smith said we have until December 31, 2020, to receive reimbursement through the Coronavirus Relief Fund (CARES Act). She stated she needs to email City Council what she found regarding that, which is if we are at \$50,000 or more on that reimbursement; we will be eligible for a Federal Audit on how we utilized those funds. J. Smith said she has requested an inventory list from Department Heads on the equipment that was bought due to the COVID pandemic. Finance Director Judy Smith stated she will be emailing the guidelines and regulations regarding the possible audit.

PUBLIC WORKS DEPARTMENT-Public Works Superintendent Michael Krebs. Public Works Superintendent Mike Krebs said that one item that did not get on his report because it came in too late was the cost estimate to the upgrades to the Water Plant. He said the estimate did not include the engineering costs, which would be required to get everything done. M. Krebs said he talked with City Engineer Matt Wadlington, who said the cost would be approximately \$250,000. Public Works Superintendent Mike Krebs stated we should be able to have a more in-depth discussion regarding this at next month's City Council meeting.

Mayor Charles Rostocil asked Public Works Superintendent Mike Krebs if they are going to shut down the Splash Fountain and get it winterized since it is past Labor Day.

Public Works Superintendent Mike Krebs said that he was planning on leaving it open until the end of the month unless the temperatures drop, but he will keep an eye on it and if it is not being utilized, he will shut it down.

Mayor Charles Rostocil said regarding item # 4, he talked with Gayla Jones about the Little Libraries, she said her husband got hurt so Mayor Rostocil will be putting them together and will speak with Public Works Superintendent Mike Krebs regarding their location, 1 in Rivenes Park and 1 on the other side of Pacific Highway 99E. Mayor Rostocil said he hopes to have them built this weekend.

Mayor Charles Rostocil said Regarding item # 6, he asked Public Works Superintendent Mike Krebs who would be funding the possible removal of the perimeter hedge at Centennial Park and replacing it with something that was lower maintenance.

Public Works Superintendent Mike Krebs said Ken and Linda Kleczynski said they would help with the fundraising for the project, but he does not know if they could raise enough to do what they would like to do.

City Councilor Michelle Dodge said her concerns are if there was an accident there are more likely to be injuries if a car went through a fence instead of a thick hedge.

City Councilor James Audritsh said he was concerned about the cost and wants to go with whichever is least expensive.

Director of Administration/City Recorder Vickie Nogle said regarding the land use part, hedges are put in to provide sound barriers, so that might be something to consider, that is sucks up some of the sound from the highway for the houses in that area.

There was a consensus of the City Council that Public Works Superintendent Mike Krebs would find out how much Kleczynski's can fundraise for the project, and since this project will not be until next year, this topic will be revisited at the May 2021 City Council meeting.

Public Works Superintendent Mike Krebs thanked City Councilor Robert Prinslow for giving Public Works a call when he saw the tank overflowing. He said because this was operator error, there will be a fine from DEQ at some point, but at this time the amount of the fine is not known. Public Works Superintendent Mike Krebs stated they are taking steps to help prevent this from happening again, they will be installing a float device that will radio out to a communication center if it goes up, and the radio center will then call Public Works.

City Councilor Tyler Thomas said he has called ODOT about the fir tree on "A" Street and Pacific Highway 99E going North and was told they would get someone over to take care of it.

Public Works Superintendent Mike Krebs said he will make it a point to have someone from Public Works call them once a week until it gets done.

DISCUSSION REGARDING FLAGS AT PEDESTRIAN CROSSINGS. *(Refer to Public Works Report).* Mayor Charles Rostocil said he noticed Aurora put in some flags at some pedestrian crossings so he sent a link over to Public Works Administrative Manager Melinda Olinger and asked her about the possibility of putting some here in the more heavily used areas.

Public Works Administrative Manager Melinda Olinger said it would be approximately \$200 for 50 flags, which would cover 10 locations.

There was a consensus of the City Council to allow a test site on the corner of "D" and "5th" Streets at Rivenes Park to see if they are utilized.

DISCUSSION REGARDING CENTENNIAL PARK PERIMETER HEDGE. *(Refer to Public Works Report).* This was discussed earlier when Public Works gave the Staff Report.

DISCUSSION REGARDING WATER TREATMENT PLANT IMPROVEMENTS – Public Works. This was discussed earlier when Public Works gave the Staff report.

CONSENT AGENDA.

(Matters listed within the Consent Agenda have been distributed to each member of the Hubbard City Council for reading and study, are considered to be routine, and will be enacted by one motion of the Council with no separate discussion. If separate discussion is desired, that item may be removed from the Consent Agenda at the beginning of the meeting and placed on the Regular Agenda by request.)

A) Approval of Minutes.

- 1. July 14, 2020, City Council**
- 2. August 11, 2020, City Council**
- 3. August 25, 2020, Special City Council**

B) Approval of the August 2020 Check Register Report.

C) Approval of annual step increase for Julie Hedden (Administrative Assistant/Court Clerk) to step D of the Hubbard Salary Schedule, effective September 16, 2020. (Refer to Director of Administration/City Recorder report)

D) Approval of the Edward Byrne Memorial Justice Assistance Grant program in the amount of \$24,999. and authorize the Mayor to sign. (Refer to the Police Chief Report)

E) Approval to remove Grant Thommen (Police Officer) from probation and to step B of the Hubbard Salary Schedule, effective September 1, 2020.

MSA/City Councilor Tyler Thomas/City Councilor Michelle Dodge motioned to approve the Consent Agenda as written. City Councilor Robert Prinslow, Mayor Charles Rostocil, City Councilor Tyler Thomas, City Councilor Michelle Dodge, City Councilor James Audritsh were in favor. Motion passed unanimously.

APPEARANCE OF INTERESTED CITIZENS. None.

OTHER CITY BUSINESS. None.

COUNCIL RECESS OPEN PUBLIC MEETING AND CONVENE CLOSED EXECUTIVE SESSION TO REVIEW AND EVALUATE EMPLOYMENT-RELATED PERFORMANCE OF EMPLOYEES UNDER ORS 192.660(2)(i). PURSUANT TO ORS 192.660(4). COUNCIL SPECIFICALLY REQUEST THAT MEMBERS OF THE MEDIA AND OTHER ATTENDEES NOT DISCLOSE MATTERS DISCUSSED IN THE EXECUTIVE SESSION. Mayor Charles Rostocil declared the ORS for the executive session and recessed the (open) public meeting at 9:30 p.m. to go to a closed session.

COUNCIL CLOSE EXECUTIVE (CLOSED) SESSION AND RECONVENE PUBLIC (OPEN) MEETING. Mayor Charles Rostocil closed the executive session and reconvened the (open) public meeting at 9:33 p.m.

ADJOURNMENT - (NEXT REGULAR CITY COUNCIL MEETING IS OCTOBER 13, 2020, AT 7:00 P.M.) MSA/Mayor Tyler Thomas/Mayor Charles Rostocil motioned to adjourn the meeting. City Councilor Robert Prinslow, City Councilor Tyler Thomas, Mayor Charles Rostocil, City Councilor James Audritsh, City Councilor Michelle Dodge were in favor. Meeting adjourned at 9:33 p.m.

ATTEST:

Charles Rostocil, Mayor

Vickie L. Nogle MMC
Director of Administration / City Recorder
Recording

Julie Hedden
Administrative Assistant / Court Clerk
Transcribing

**CITY OF HUBBARD
CITY COUNCIL SPECIAL MEETING MINUTES
SEPTEMBER 24, 2020**

CALL TO ORDER: The Hubbard City Council special meeting was called to order by Mayor Charles Rostocil at 6:30 p.m. via ZOOM per COVID-19 restrictions.

FLAG SALUTE: Mayor Charles Rostocil led the group in reciting the Pledge of Allegiance.

CITY COUNCIL PRESENT: Mayor Charles Rostocil, City Councilor Robert Prinslow, City Councilor Tyler Thomas, City Councilor James Audritsh, City Councilor Michelle Dodge.

STAFF PRESENT: Director of Administration/City Recorder Vickie Nogle, City Attorney Ashley Driscoll-Beery, Elsner & Hammond.

COUNCIL RECESS OPEN PUBLIC MEETING AND CONVENE CLOSED EXECUTIVE SESSION TO CONSIDER INFORMATION OR RECORDS THAT ARE EXEMPT BY LAW FROM PUBLIC INSPECTION ORS 192.660(2)(f). PURSUANT TO ORS 192.6640(4) COUNCIL SPECIFICALLY REQUEST THAT MEMBERS OF THE MEDIA AND OTHER ATTENDEES NOT DISCLOSE MATTERS DISCUSSED IN THE EXECUTIVE SESSION. Mayor Charles Rostocil declared the ORS for the executive session and recessed the (open) public meeting at 6:33 p.m. to go to a closed session.

COUNCIL CLOSE EXECUTIVE (CLOSED) SESSION AND RECONVENE PUBLIC (OPEN) MEETING. Mayor Charles Rostocil closed the executive session and reconvened the (open) public meeting at 7:09 p.m.

MSA/City Councilor James Audritsh/City Councilor Robert Prinslow moved to delegate authority to City Councilor Michelle Dodge to work with legal counsel and city staff on an employee request. City Councilor Robert Prinslow, City Councilor Tyler Thomas, City Councilor James Audritsh, City Councilor Michelle Dodge, and Mayor Charles Rostocil were in favor. Motion carried.

ADJOURNMENT - (NEXT REGULAR CITY COUNCIL MEETING IS October 13, 2020, AT 7:00 P.M.) MSA/Mayor Charles Rostocil/City Councilor Michelle Dodge motioned to adjourn the meeting. City Councilor Robert Prinslow, City Councilor Tyler Thomas, City Councilor James Audritsh, City Councilor Michelle Dodge, and Mayor Charles Rostocil were in favor. Meeting adjourned at 7:10 p.m.

ATTEST:

Charles Rostocil, Mayor

Vickie L. Nogle MMC
Director of Administration / City Recorder
Transcribing

Check Number	Check Issue Date	Name	Description	Amount
10481	09/08/20	BlackPoint IT Services Inc	IT Services	2,359.57
10482	09/08/20	Curran-McLeod Inc	G Street Improvements	2,038.50
10483	09/08/20	DATAVISION	Phone/Internet	807.94
10484	09/08/20	Ferguson Waterworks #3011	Supplies	52.98
10485	09/08/20	Fisher's Supply	Equipment Maint/Supplies	443.36
10486	09/08/20	Great Western Sweeping, Inc.	Street Sweeping	1,889.50
10487	09/08/20	GW Hardware Center	Op Supplies	183.64
10488	09/08/20	Long Bros. Bldg Supply	BLDG MAINT/SUPPLIES	97.50
10489	09/08/20	Marion County Dept of Public Works	Disposal	32.00
10490	09/08/20	Marion County Treasury Dept	Municipal Court Payments	298.20
10491	09/08/20	North Marion SD #15	NMSD Excise Tax	4,451.52
10492	09/08/20	NW Natural Gas	Utilities	51.15
10493	09/08/20	Office Depot	Supplies	90.98
10494	09/08/20	OHA Cashier	Drinking Water Cert - Hernandez	45.00
10495	09/08/20	One Call Concepts, Inc.	Regular Tickets	12.00
10496	09/08/20	Oregon Dept of Revenue	Municipal Court Payments	1,988.32
10497	09/08/20	OVS	Equip Maint/supplies	15.84
10498	09/08/20	PGE- Portland General Electric	Utilities	7,777.34
10499	09/08/20	Pitney Bowes Global Financial Services	Folder Lease	322.11
10500	09/08/20	Profectus, INC.	Janitorial Services	471.78
10501	09/08/20	Republic Services	Utilities	535.47
10502	09/08/20	Rogers Machinery Inc.	Equip Maint/Supplies	2,608.94
10503	09/08/20	TransUnion Risk	Background Check Service	50.00
10504	09/08/20	Verizon Wireless	Cell Phone 672419126-00001	595.53
10505	09/08/20	West Wind Reinforcing LLC	Refund School Excise Tax - 2966 Industrial Ave	2,400.00
10506	09/08/20	WEX Bank	Fuel	1,755.08
10507	09/08/20	Willamette Valley Security, In	Security Services	119.70
10508	09/08/20	Yes Graphics Printing Co. Inc.	City Map	301.00
10509	09/22/20	911 Supply	Operational Supplies	209.88
10510	09/22/20	Aramark Uniform Svcs, Inc	Uniforms	259.97
10511	09/22/20	BlackPoint IT Services Inc	IT Services	145.56
10512	09/22/20	Canby Landscape	Building Maint & Supplies	336.00
10513	09/22/20	Canby Rental & Equip, Inc	Equipment Maint/Supplies	214.26
10514	09/22/20	Cascade Columbia Distribution	Supplies	1,550.15
10515	09/22/20	Cascade Water Works LLC	Equip Maint & Supplies	2,491.00
10516	09/22/20	Caselle Inc	Contracted Support	1,963.00
10517	09/22/20	CIT	Water	216.07
10518	09/22/20	Civil West Engineering Services Inc	Engineering Services	4,757.00
10519	09/22/20	ELAN Corporate Payment Systems	EEquip Maint / Supplies	5,187.75
10520	09/22/20	Ferguson Waterworks #3011	Supplies	1,706.76
10521	09/22/20	Government Ethics Commission	Annual OR Government Ethics Commission	548.87
10522	09/22/20	Hattenhauer Energy Co LLC	Fuel	339.37
10523	09/22/20	Hillyer's Mid City Ford	Equip Maint & Supplies	35.24
10524	09/22/20	Hubbard Chevrolet, Inc.	Equipment Maint/Supplies	268.48
10525	09/22/20	Idexx Distribution Corp.	Supplies	202.53
10526	09/22/20	Long Bros. Bldg Supply	BLDG MAINT/SUPPLIES	117.58
10527	09/22/20	Molico Inc	Backflow assembly	340.00
10528	09/22/20	Net Assets Corporation	Lien Searches	84.00
10529	09/22/20	Office Depot	Supplies	272.69
10530	09/22/20	Pacific Office Automation	Copies	762.60
10531	09/22/20	PGE- Portland General Electric	Utilities	2,808.49
10532	09/22/20	Smith-Wagar Brucker Consulting	Consultant Services	115.00
10533	09/22/20	Verizon Wireless	Verizon PW Bill 864287314-00001	232.05
10534	09/22/20	Washington Federal	INTREST - WATER BOND	47,863.47
10535	09/22/20	Waste Connections	Shredding Services	41.78
10536	09/22/20	Waterlab Corporation	Water Testing	1,170.00
10537	09/22/20	Woodburn Kiwanis	Membership Dues	142.00
10539	09/29/20	Absolute Floor Covering & Interiors LLC	City Hall Carpet/Flooring-Deposit	8,470.00

Check Number	Check Issue Date	Name	Description	Amount
Grand Totals:				114,646.50

RESOLUTION NO. 702-2020

A RESOLUTION AMENDING RESOLUTIONS 655-2018, 655-2019, 682-2019, 688-2020, POLICE PERSONNEL POLICIES AND PROCEDURES FOR THE CITY OF HUBBARD.

Findings:

- A. The City Council of the City of Hubbard finds it in the best interest of the City to amend the *Police Personnel Policies and Procedures* for police employees of the City.

Based on the findings, the City of Hubbard resolves as follows:

1. The City of Hubbard hereby amends sections of the *Police Personnel Policies and Procedures* as set forth in the attached document marked "Exhibit A" attached hereto and by this reference incorporated herein.

ADOPTED BY THE CITY COUNCIL this 10th day of October 2020.

BY: _____
Charles Rostocil, Mayor

ATTEST:

BY: _____
Vickie Nogle, MMC
Director of Administration/City Recorder

APPROVED AS TO FORM:

BY: _____
Beery, Elsner & Hammond, City Attorney

EXHIBIT "A"

Use of Force

300.1 PURPOSE AND SCOPE

~~This~~ This policy provides guidelines on the reasonable use of force. While there is no way to specify the exact amount or type of reasonable force to be applied in any situation, every member of this ~~department~~ department is expected to use these guidelines to make such decisions in a professional, impartial, and reasonable manner.

In addition to those methods, techniques, and tools set forth below, the guidelines for the reasonable application of force contained in this policy shall apply to all policies addressing the potential use of force, including but not limited to the Control Devices and Techniques and Conducted Energy Device policies.

300.1.1 DEFINITIONS

Definitions related to this policy include:

Deadly force - Force reasonably anticipated and intended to create a substantial likelihood of causing death or very serious injury.

Feasible - Reasonably capable of being done or carried out under the circumstances to successfully achieve the arrest or lawful objective without increasing risk to the officer or another person.

Force - The application of physical techniques or tactics, chemical agents, or weapons to another person. It is not a use of force when a person allows him/herself to be searched, escorted, handcuffed, or restrained.

Imminent - Ready to take place; impending. Note that imminent does not mean immediate or instantaneous.

Totality of the circumstances - All facts and circumstances known to the officer at the time, taken as a whole, including the conduct of the officer and the subject leading up to the use of force.

300.2 POLICY

~~The~~ The use of force by law enforcement personnel is a matter of critical concern, both to the public and to the law enforcement community. Officers are involved on a daily basis in numerous and varied interactions and, when warranted, may use reasonable force in carrying out their duties.

Officers must have an understanding of, and true appreciation for, their authority and limitations. This is especially true with respect to overcoming resistance while engaged in the performance of law enforcement duties.

The ~~Hubbard Police Department~~ Department recognizes and respects the value of all human life and dignity without prejudice to anyone. Vesting officers with the authority to use reasonable force and to protect the public welfare requires monitoring, evaluation, and a careful balancing of all interests.

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300.2.1 DUTY TO INTERCEDE AND REPORT

~~Any~~ Any officer present and observing another law enforcement officer using or a member using force that is clearly beyond that which is objectively reasonable under the circumstances shall, when in a position to do so, intercede to prevent the use of unreasonable force ~~-An-~~ (2020 Oregon Laws, c.5, § 2).

~~Any officer who observes another employee-~~ law enforcement officer or a member use force that ~~exceeds the degree of force permitted by law should promptly-~~ is potentially beyond that which is objectively reasonable under the circumstances shall report these observations to a supervisor as soon as feasible (2020 Oregon Laws, c.5, § 2).

300.2.2 STATE REPORTING REQUIREMENTS

A report of another member using excessive force must be made to a supervisor no later than 72 hours after the misconduct was witnessed (2020 Oregon Laws, c.5, § 2).

300.2.3 NON-DEADLY FORCE APPLICATIONS

Any application of force that is not reasonably anticipated and intended under the circumstances to create a substantial likelihood of death or serious physical injury shall be considered non-deadly force. Each officer is provided with equipment, training and skills to assist in the apprehension and control of suspects as well as protection of officers and the public. Non-deadly force applications may include but are not limited to leg restraints, control devices and TASERs described in Policy Manual §§ 306, 308 and 309 respectively.

300.2.3 PERSPECTIVE

When observing or reporting force used by a law enforcement officer, each officer should take into account the totality of the circumstances and the possibility that other law enforcement officers may have additional information regarding the threat posed by the subject.

300.3 USE OF FORCE

Officers shall use only that amount of force that reasonably appears necessary given the facts and circumstances perceived by the officer at the time of the event to accomplish a legitimate law enforcement purpose.

The reasonableness of force will be judged from the perspective of a reasonable officer on the scene at the time of the incident. Any evaluation of reasonableness must allow for the fact that officers are often forced to make split-second decisions about the amount of force that reasonably appears necessary in a particular situation, with limited information and in circumstances that are tense, uncertain, and rapidly evolving.

Given that no policy can realistically predict every possible situation an officer might encounter, officers are entrusted to use well-reasoned discretion in determining the appropriate use of force in each incident.

It is also recognized that circumstances may arise in which officers reasonably believe that it would be impractical or ineffective to use any of the tools, weapons, or methods provided by

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~~the Department~~ this department. Officers may find it more effective or reasonable to improvise their response to rapidly unfolding conditions that they are confronting. In such circumstances, the use of any improvised device or method must nonetheless be reasonable and utilized only to the degree that reasonably appears necessary to accomplish a legitimate law enforcement purpose.

While the ultimate objective of every law enforcement encounter is to avoid or minimize injury, nothing in this policy requires an officer to retreat or be exposed to possible physical injury before applying reasonable force.

300.3.1 USE OF FORCE ~~TO EFFECT AN ARREST~~ - JUSTIFICATION

~~An officer is~~ An officer is justified in using force upon another person only when and to the extent that the officer reasonably believes it necessary (ORS 161.235):

- (a) To make an arrest or to prevent the escape from custody of an arrested person unless the officer knows that the arrest is unlawful; or
- (b) For self-defense or to defend a third person from what the officer reasonably believes to be the use or imminent use of force while making or attempting to make an arrest or while preventing or attempting to prevent an escape.

300.3.1 ALTERNATIVE TACTICS - DE-ESCALATION

When circumstances reasonably permit, officers should use non-violent strategies and techniques to decrease the intensity of a situation, improve decision-making, improve communication, reduce the need for force, and increase voluntary compliance (e.g., summoning additional resources, formulating a plan, attempting verbal persuasion).

300.3.2 FACTORS USED TO DETERMINE THE REASONABLENESS OF FORCE

When determining whether to apply force and evaluating whether an officer has used reasonable force, a number of factors should be taken into consideration, as time and circumstances permit. These factors include ~~;~~ but are not limited to:

- (a) Immediacy and severity of the threat to officers or others.
- (b) The conduct of the individual being confronted, as reasonably perceived by the officer at the time.
- (c) Officer/subject factors (e.g., age, size, relative strength, skill level, injuries sustained, level of exhaustion or fatigue, the number of officers available vs. subjects).
- (d) The effects of
- (e) suspected drug or alcohol use.

~~-~~ Subject's

- (a) The individual's mental state or capacity.
- (b) The individual's ability to understand and comply with officer commands.
- (c) Proximity of weapons or dangerous improvised devices.
- (d) The degree to which the

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- (e) individual has been effectively restrained and his/her ability to resist despite being restrained.
- (f) The availability of other reasonable and feasible options and their possible effectiveness.
- (g) Seriousness of the suspected offense or reason for contact with the individual.
- (h) Training and experience of the officer.
- (i) Potential for injury to officers, suspects, and others.
- (j) Whether the

-- person

- (a) individual appears to be resisting, attempting to evade arrest by flight, or is attacking the officer.
- (b) The risk and reasonably foreseeable consequences of escape.
- (c) The apparent need for immediate control of the
- (d) individual or a prompt resolution of the situation.
- (e) Whether the conduct of the individual being confronted no longer reasonably appears to pose an imminent threat to the officer or others.
- (f) Prior contacts with the

-- subject

- (a) individual or awareness of any propensity for violence.
- (b) Any other exigent circumstances.

300.3.3 PAIN COMPLIANCE TECHNIQUES

Pain compliance ~~Pain compliance~~ techniques may be effective in controlling a physically or actively resisting individual. Officers may only apply those pain compliance techniques for which they have successfully completed ~~department~~ department-approved training. Officers utilizing any pain compliance technique should consider:

- (a) The degree to which the application of the technique may be controlled given the level of resistance.
- (b) Whether the ~~person~~ individual can comply with the direction or orders of the officer.
- (c) Whether the ~~person~~ individual has been given sufficient opportunity to comply.

The application of any pain compliance technique shall be discontinued once the officer determines that compliance has been achieved.

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300.3.4 CAROTID CONTROL HOLD

~~The~~ A carotid control hold is a technique designed to control an individual by temporarily restricting blood flow through the application of pressure to the side of the neck and, unlike a chokehold, does not restrict the airway. The proper application of the carotid control hold may be effective in restraining a violent or combative individual. However, due to the potential for injury, the use of the carotid control hold is ~~subject to~~ limited to those circumstances where deadly force is authorized and is subject to the following:

- (a) ~~The officer shall have successfully completed department-approved training in the use and~~ At all times during the application of the carotid control hold, ~~the response of the individual should be monitored.~~ The carotid control hold ~~may only~~ should be used ~~discontinued~~ when circumstances ~~perceived by the officer at the time~~ indicate that ~~such~~ the application ~~no longer~~ reasonably appears necessary ~~to control a person in any of the following circumstances:~~ ~~The subject is violent or physically resisting.~~ The subject, by words or actions, has demonstrated an intention to be violent and reasonably appears to have the potential to harm officers, him/herself or others.
- (b) ~~The application of a carotid control hold on the following individuals should generally be avoided unless the totality of the circumstances indicates that other available options reasonably appear ineffective, or would present a greater danger to the officer, the subject or others, and the officer reasonably believes that the need to control the individual outweighs the risk of applying a carotid control hold:~~
 1. ~~Females who are known to be pregnant~~
 2. ~~Elderly individuals~~
 3. ~~Obvious juveniles~~
 4. ~~Individuals who appear to have Down syndrome or who appear to have obvious neck deformities or malformations, or visible neck injuries~~
- (c) Any individual who has had the carotid control hold applied, regardless of whether he/she was rendered unconscious, shall be promptly examined by paramedics or other qualified medical personnel and should be monitored until ~~examined by paramedics or other appropriate medical personnel~~ such examination occurs.
- (d) The officer shall inform any person receiving custody, or any person placed in a position of providing care, that the individual has been subjected to the carotid control hold and whether the ~~subject~~ individual lost consciousness as a result.
- (e) Any officer attempting or applying the carotid control hold shall promptly notify a supervisor of the use or attempted use of such hold.
- (f) The use or attempted use of the carotid control hold shall be thoroughly documented by the officer in any related reports.

300.3.5 USE OF FORCE TO SEIZE EVIDENCE

~~In~~ In general, ~~officers~~ officers may use reasonable force to lawfully seize evidence and to prevent the destruction of evidence. However, ~~officers~~ officers are discouraged from using force

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solely to prevent a person from swallowing evidence or contraband. In the instance when force is used, ~~officers~~ officers should not intentionally use any technique that restricts blood flow to the head, restricts respiration or which creates a reasonable likelihood that blood flow to the head or respiration would be restricted. ~~Officers~~ Officers are encouraged to use techniques and methods taught by the ~~Hubbard~~ Hubbard Police ~~Department~~ Department for this specific purpose.

300.4 DEADLY FORCE APPLICATIONS

When reasonable, the officer shall, prior to the use of deadly force, make efforts to identify him/herself as a peace officer and to warn that deadly force may be used, unless the [officer_deputy] has objectively reasonable grounds to believe the person is aware of those facts.

Use of deadly force is justified in the following circumstances involving imminent threat or imminent risk:

- (a) An officer may use deadly force to protect him/herself or others from what he/she reasonably believes would be an imminent threat of death or serious bodily injury.
- (b) An officer may use deadly force to stop a fleeing subject when the officer has probable cause to believe that the person has committed, or intends to commit, a felony involving the infliction or threatened infliction of serious bodily injury or death, and the officer reasonably believes that there is an imminent risk of serious bodily injury or death to any other person if the ~~subject is~~ individual is not immediately apprehended. Under such circumstances, a verbal warning should precede the use of deadly force, where feasible.

Imminent does not mean immediate or instantaneous. An imminent danger may exist even if the suspect is not at that very moment pointing a weapon at someone. For example, an imminent danger may exist if an officer reasonably believes

~~any of the following:~~The person
that the individual has a weapon or is attempting to access one and

~~it is reasonable to believe the person~~
intends to use it against the officer or another

~~The person~~
person. An imminent danger may also exist if the individual is capable of causing serious bodily injury or death without a weapon, and

~~it is reasonable to believe the person~~
the officer believes the individual intends to do so.

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~~When feasible, a warning should be given before an officer resorts to a deadly force as outlined (a) and (b) above. A specific warning that deadly force will be used is not required by this policy; only that a warning be given if feasible.~~

300.4.1 ~~SHOOTING AT OR FROM~~ MOVING VEHICLES

Shots fired at or from a moving vehicle ~~are~~ involve additional considerations and risks, and are rarely effective. ~~Officers should~~

When feasible, officers should take reasonable steps to move out of the path of an approaching vehicle instead of discharging their firearm at the vehicle or any of its occupants.

An officer should only discharge a firearm at a moving vehicle or its occupants when the officer reasonably believes there are no other reasonable means available to avert the threat of the vehicle, or if deadly force other than the vehicle is directed at the officer or others.

Officers should not shoot at any part of a vehicle in an attempt to disable the vehicle.

300.4.2 WARNING SHOTS

Generally, warning shots or shots fired for the purpose of summoning aid are discouraged and may not be discharged unless the officer reasonably believe that they appear necessary, effective and reasonably safe.

300.5 REPORTING THE USE OF FORCE

Any use of force by a member of this department shall be documented promptly, completely, and accurately in an appropriate report, depending on the nature of the incident. The officer should articulate the factors perceived and why he/she believed the use of force was reasonable under the circumstances.

To collect data for purposes of training, resource allocation, analysis, and related purposes, the Department ~~also requires the officer applying the force to complete the Hubbard Police Department Response to Suspect's Resistance Report. The Response to Suspect's Resistance Report will be forward to the Chief of Police through channels for review.~~

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may require the completion of additional report forms, as specified in department policy, procedure, or law. See the Report Preparation Policy for additional circumstances that may require documentation.

300.5.1 ~~NOTIFICATION~~ NOTIFICATIONS TO SUPERVISORS

~~Supervisory~~ Supervisory notification shall be made as soon as practicable following the application of force in any of the following circumstances:

- (a) The application caused a visible injury.
- (b) The application would lead a reasonable officer to conclude that the individual may have experienced more than momentary discomfort.
- (c) The individual subjected to the force complained of injury or continuing pain.
- (d) The individual indicates intent to pursue litigation.
- (e) Any application of the TASER or control device.
- (f) Any application of a restraint device other than handcuffs, shackles or belly chains.
- (g) The individual subjected to the force was rendered unconscious.
- (h) An individual was struck or kicked.
- (i) An individual alleges ~~any~~ unreasonable force was used or that any of the above has occurred.

300.6 ~~MEDICAL CONSIDERATION~~ CONSIDERATIONS

~~Prior to booking or release~~ Once it is reasonably safe to do so, medical assistance shall be obtained for any person who exhibits signs of physical distress, ~~who~~ has sustained visible injury, expresses a complaint of injury or continuing pain, or ~~who~~ was rendered unconscious. Any individual exhibiting signs of physical distress after an encounter should be continuously monitored until he/she can be medically assessed. Individuals should not be placed on their stomachs for an extended period, as this could impair their ability to breathe.

Based upon the officer's initial assessment of the nature and extent of the ~~subject's~~ individual's injuries, medical assistance may consist of examination by ~~fire personnel, paramedics, hospital staff or medical staff at the~~ an emergency medical services provider or medical personnel at a hospital or jail. If any such individual refuses medical attention, such a refusal shall be fully documented in related reports and, whenever practicable, should be witnessed by another officer and/or medical personnel. If a recording is made of the contact or an interview with the individual, any refusal should be included in the recording, if possible.

The on-scene supervisor or, if the on-scene supervisor is not available, the primary handling officer shall ensure that any person providing medical care or receiving custody of a person following any use of force is informed that the person was subjected to force. This notification shall include a description of the force used and any other circumstances the officer reasonably believes would be potential safety or medical risks to the subject (e.g., prolonged struggle, extreme agitation, impaired respiration).

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~~Persons~~ Individuals who exhibit extreme agitation, violent irrational behavior accompanied by profuse sweating, extraordinary strength beyond their physical characteristics, and imperviousness to pain (sometimes called "excited delirium"), or who require a protracted physical encounter with multiple officers to be brought under control, may be at an increased risk of sudden death. Calls involving these persons should be considered medical emergencies. Officers who reasonably suspect a medical emergency should request medical assistance as soon as practicable and have medical personnel stage away ~~if appropriate~~.

See the Medical Aid and Response Policy for additional guidelines.

300.7 SUPERVISOR ~~RESPONSIBILITY~~ RESPONSIBILITIES

~~When~~ A supervisor should respond to a reported application of force resulting in visible injury, if reasonably available. When a supervisor is able to respond to an incident in which there has been a reported application of force, the supervisor is expected to:

- (a) Obtain the basic facts from the involved officers. Absent an allegation of misconduct or excessive force, this will be considered a routine contact in the normal course of duties.
- (b) Ensure that any injured parties are examined and treated.
- (c) When possible, separately obtain a recorded interview with the ~~subject~~ individual upon whom force was applied. If this interview is conducted without the ~~person~~ individual having voluntarily waived his/her *Miranda* rights, the following shall apply:
 1. The content of the interview should not be summarized or included in any related criminal charges.
 2. The fact that a recorded interview was conducted should be documented in a property or other report.
 3. The recording of the interview should be distinctly marked for retention until all potential for civil litigation has expired.
- (d) Once any initial medical assessment has been completed or first aid has been rendered, ensure that photographs have been taken of any areas involving visible injury or complaint of pain, as well as overall photographs of uninjured areas.
 1. These photographs should be retained until all potential for civil litigation has expired.
- (e) Identify any witnesses not already included in related reports.
- (f) Review and approve all related reports.
- (g) Determine if there is any indication that the ~~subject~~ individual may pursue civil litigation.
 1. If there is an indication of potential civil litigation, the supervisor should complete and route a notification of a potential claim through the appropriate channels.

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- (h) Evaluate the circumstances surrounding the incident and initiate an administrative investigation if there is a question of policy ~~non-compliance~~ noncompliance or if for any reason further investigation may be appropriate.

In the event that a supervisor is unable to respond to the scene of an incident involving the reported application of force, the supervisor is still expected to complete as many of the above items as circumstances permit.

300.7.1 SERGEANT RESPONSIBILITY

The Sergeant shall review each use of force by any personnel within his/her command to ensure compliance with this policy and to address any training issues.

300.8 TRAINING

~~Officers will~~ Officers will receive periodic training on this policy and demonstrate their knowledge and understanding.

Subject to available resources, officers should receive periodic training on:

- (a) Guidelines regarding vulnerable populations, including but not limited to children, elderly, pregnant persons, and individuals with physical, mental, or intellectual disabilities.
- (b) De-escalation tactics, including alternatives to force.

300.9 USE OF FORCE ~~REVIEW BOARD~~ ANALYSIS

At least annually, the Operations Sergeant/Supervisor should prepare an analysis report on use of force incidents. The report should be submitted to the Chief of Police

~~- may assemble and convene a Use of Force Board to investigate the circumstances surrounding any use of force incident and will designate a member of the board to serve as chairperson. The board will follow the procedures as outlined in the Deadly Force.~~

. The report should not contain the names of officers, suspects or case numbers, and should include:

- (a) The identification of any trends in the use of force by members.
- (b) Training needs recommendations.
- (c) Equipment needs recommendations.
- (d) Policy revision recommendations.

300.10 ANNUAL REVIEW

Each January the Chief of Police will insure that an annual review of all Use of Force Reports for the previous calendar year is conducted. The analysis will focus on the effectiveness and trends in the use of force that might suggest training or equipment needs, or policy modification.

Specific detail including items such as officer names, case numbers, location of occurrence are not needed for this purpose and therefore will not be part of this process.

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Control Devices and Techniques

303.1 PURPOSE AND SCOPE

This policy provides guidelines for the use and maintenance of control devices that are described in this policy.

303.1.1 WHEN DEVICES MAY BE USED

When a decision has been made to restrain or arrest a violent or threatening suspect, an approved control device may only be used when its use appears reasonable under the circumstances.

303.1.2 REVIEW, INSPECTION AND APPROVAL

Every control device will be periodically inspected by the department Armorer or Rangemaster, or the designated instructor for a particular control device.

303.1.3 TRAINING FOR CONTROL DEVICES

Only officers trained and having shown adequate proficiency in the use of any control device and this agency's Use of Force policy are authorized to carry the device. Proficiency training must be monitored and documented by a certified weapons or tactics instructor.

- (a) Training for all control devices should occur every two years at a minimum.
- (b) All training and proficiency for control devices will be documented in the officer's training file.
- (c) Officers failing to demonstrate proficiency with the weapon or knowledge of this agency's Use of Force policy will be provided remedial training. If, after two additional attempts, an officer still cannot demonstrate proficiency with a weapon or knowledge of this agency's Use of Force policy, the officer may be subject to discipline.

303.2 POLICY

In order to control subjects who are violent or who demonstrate the intent to be violent, the Hubbard Police Department authorizes officers to use control devices in accordance with the guidelines in this policy and the Use of Force Policy. The Chief of Police may also authorize other positions or individual Department members to use specific control devices.

303.3 ISSUING, CARRYING, AND USING CONTROL DEVICES

Control devices ~~Control devices~~ described in this policy may be carried and used by members of this ~~department~~ department only if the device has been issued by the ~~Department~~ Department or approved by the Chief of Police or the authorized designee.

Only officers who have successfully completed ~~department~~ department-approved training in the use of any control device are authorized to carry and use the device.

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Control Devices and Techniques

Control devices may be used when a decision has been made to control, restrain, or arrest a subject who is violent or who demonstrates the intent to be violent, and the use of the device appears reasonable under the circumstances. When reasonable, a verbal warning and opportunity to comply should precede the use of these devices.

~~When using control devices, officers should carefully consider potential impact areas in order to minimize injuries and unintentional targets.~~

303.4 RESPONSIBILITIES

303.4.1 SERGEANT RESPONSIBILITIES

The Sergeant may authorize the use of a control device by selected personnel or members of specialized units who have successfully completed the required training.

303.4.2 RANGEMASTER RESPONSIBILITIES

The Rangemaster shall control the inventory and issuance of all control devices and shall ensure that all damaged, inoperative, outdated or expended control devices or munitions are properly disposed of, repaired or replaced.

Every control device will be periodically inspected by the Rangemaster or the designated instructor for a particular control device. The inspection shall be documented.

303.4.3 USER RESPONSIBILITIES

All normal maintenance, charging or cleaning shall remain the responsibility of personnel using the various devices.

Any damaged, inoperative, outdated or expended control devices or munitions, along with documentation explaining the cause of the damage, shall be returned to the Rangemaster for disposition. Damage to City property forms shall also be prepared and forwarded through the chain of command, when appropriate, explaining the cause of damage.

303.5 BATON GUIDELINES

The need to immediately control a suspect must be weighed against the risk of causing serious injury. The head, neck, throat, spine, heart, kidneys and groin should not be intentionally targeted except when the officer reasonably believes the suspect poses an imminent threat of serious bodily injury or death to the officer or others.

When carrying a baton, uniformed personnel shall carry the baton in its authorized holder on the equipment belt. Plainclothes and non-field personnel may carry the baton as authorized and in accordance with the needs of their assignment or at the direction of their supervisor.

303.5.1 DEPLOYMENT

Approved munitions are justified and may be used to compel an individual to cease his or her actions when such munitions present a reasonable option for resolving the situation at hand.

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Officers are not required or compelled to use approved munitions in lieu of other reasonable tactics if the involved officer(s) determine that deployment of these munitions cannot be done safely. The safety of hostages, innocent persons, and officers takes priority over the safety of subjects engaged in criminal or suicidal behavior.

Unless it would otherwise endanger officer safety or is impractical due to circumstances, a verbal announcement of the intended use of the Kinetic Energy Projectiles shall precede the application of a Kinetic Energy Projectile in order to:

- (a) Provide the individual with a reasonable opportunity to voluntarily comply
- (b) Provide others and individuals with warning that a kinetic energy device may be deployed

303.5.2 EXAMPLES OF CIRCUMSTANCES APPROPRIATE FOR DEPLOYMENT

Examples include, but are not limited to, the following types of situations where the subject:

- (a) Is armed with a weapon and the tactical circumstances allow for the safe application of approved munitions
- (b) Has made credible threats to harm himself or others
- (c) Is engaged in riotous behavior or is throwing rocks, bottles, or other dangerous projectiles at people and/or officers

303.5.3 DEPLOYMENT CONSIDERATIONS

Before discharging projectiles, the officer should consider the following factors:

- (a) Severity of the crime or incident
- (b) Subject's capability to pose an imminent threat to the safety of officers or others
- (c) If the subject is actively resisting arrest or attempting to evade arrest by flight
- (d) The credibility of the subject's threat as evaluated by the officers present, and physical capacity/capability
- (e) The proximity of weapons available to the subject
- (f) The officer's versus the subject's physical factors (e.g., age, size relative strength, skill level, injury/exhaustion, the number of officer(s) versus subject(s))
- (g) The availability of other force options and their possible effectiveness
- (h) Distance and angle to target
- (i) Type of munitions employed
- (j) Type and thickness of subject's clothing
- (k) The subject's actions dictate the need for an immediate response and the use of control devices appears appropriate

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303.5.4 DEPLOYMENT DISTANCES

Officers will keep in mind the manufacturer's recommendations regarding deployment when using control devices, but are not solely restricted to use according to these manufacturer recommendations. Each tactical situation must be evaluated on the totality of circumstances at the time of deployment.

303.5.5 SHOT PLACEMENT

The need to immediately incapacitate the subject must be weighed against the risk of causing serious injury or death. The head and neck should not be intentionally targeted when deadly force is not reasonably justified.

Officers should generally follow the manufacturer's recommendations regarding minimum deployment distances and target areas however any target area or distance may be considered when it reasonably appears necessary to accomplish immediate incapacitation in order to prevent serious injury or death and other reasonable methods have failed or reasonably appear ineffective.

303.5.6 APPROVED MUNITIONS

Only department approved kinetic energy munitions shall be carried and deployed.

303.5.7 USE OF KINETIC ENERGY PROJECTILES BY SUPERVISORS

Shotguns in this department have been dedicated for the use of Kinetic Energy Projectiles only. Shotguns with Kinetic Energy Projectiles will be carried in the gun rack in each marked patrol unit.

303.5.8 SAFE HANDLING OF WEAPONS

The intent of this policy is to promote proper safety while handling kinetic energy devices and projectiles on and off duty. Employees shall maintain the highest level of safety when handling these devices and shall consider the following:

- (a) Officers shall not unnecessarily display or handle any kinetic energy device.
- (b) Officers shall be governed by all rules and regulations pertaining to the use of the police range or training facility, and shall obey all orders issued by the Rangemaster or weapons instructor.
- (c) Any member who discharges a kinetic energy device accidentally or intentionally, on or off-duty, except during training, shall make a verbal report to the on-duty supervisor as soon as circumstances permit and shall file a written report with their Sergeant/Supervisor prior to the end of shift if on-duty. If off-duty, as directed by the supervisor.
- (d) Officers shall not place or store any kinetic energy device or projectiles in department premises except when the place of storage is locked.

303.5.9 TRAINING REQUIRED FOR USE

Personnel who have successfully completed an approved departmental training course shall be authorized to use kinetic energy projectiles. Officers deploying kinetic energy projectiles

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will complete an annual recertification course demonstrating proficiency with the weapon and knowledge of this agency's Use of Force policy.

303.6 TEAR GAS GUIDELINES

~~Tear~~ Tear gas may be used for crowd control, crowd dispersal, or against barricaded suspects based on the circumstances.

Only the Sergeant, Incident Commander, or Crisis Response Unit Commander may authorize the delivery and use of tear gas, and only after evaluating all conditions known at the time and determining that such force reasonably appears justified and necessary.

When practicable, fire personnel should be alerted or summoned to the scene prior to the deployment of tear gas to control any fires and to assist in providing medical aid or gas evacuation if needed.

303.6.1 SERGEANT'S RESPONSIBILITIES

The Sergeant shall monitor the use of control devices in the same manner as all other use of force incidents.

- (a) The Sergeant may authorize the use of a control device by selected personnel or members of specialized units provided the person(s) authorized has/have the required training. The request for a control device should be made through the Sergeant.
- (b) The Sergeant shall review each use of control devices by any personnel within his or her command.
- (c) The Sergeant shall ensure Briefing training on the use of control devices is provided as needed.

303.6.2 RANGEMASTER RESPONSIBILITIES

The Rangemaster shall control the inventory and shall issue all control devices. All damaged, inoperative and/or expended control devices shall be returned to the Rangemaster for disposition, repair or replacement.

303.6.3 MAINTENANCE RESPONSIBILITY

All normal maintenance, charging or cleaning shall remain the responsibility of personnel using the various devices.

303.7 OLEORESIN CAPSICUM (OC) GUIDELINES

As with other control devices, oleoresin capsicum (OC) spray and pepper projectiles may be considered for use to bring under control an individual or groups of individuals who are engaging in, or are about to engage in violent behavior. Pepper projectiles and OC spray should not, however, be used against individuals or groups who merely fail to disperse or do not reasonably appear to present a risk to the safety of officers or the public.

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303.7.1 OC SPRAY

Uniformed personnel carrying OC spray shall carry the device in its holster on the equipment belt. Plainclothes and non-field personnel may carry OC spray as authorized, in accordance with the needs of their assignment or at the direction of their supervisor.

303.7.2 PEPPER PROJECTILE SYSTEMS

~~Pepper~~ Pepper projectiles are plastic spheres that are filled with a derivative of OC powder. Because the compressed gas launcher delivers the projectiles with enough force to burst the projectiles on impact and release the OC powder, the potential exists for the projectiles to inflict injury if they strike the head, neck, spine, or groin. Therefore, personnel using a pepper projectile system should not intentionally target those areas, except when the officer reasonably believes the suspect poses an imminent threat of serious bodily injury or death to the officer or others.

Officers encountering a situation that warrants the use of a pepper projectile system shall notify a supervisor as soon as practicable. A supervisor shall respond to all pepper projectile system incidents where the suspect has been hit or exposed to the chemical agent. The supervisor shall ensure that all notifications and reports are completed as required by the Use of Force Policy.

Each deployment of a pepper projectile system shall be documented. This includes situations where the launcher was directed toward the suspect, whether or not the launcher was used. Unintentional discharges shall be promptly reported to a supervisor and documented on the appropriate report form. Only non-incident use of a pepper projectile system, such as training and product demonstrations, is exempt from the reporting requirement.

303.7.3 TREATMENT FOR OC SPRAY EXPOSURE

Persons who have been sprayed with or otherwise affected by the use of OC should be promptly provided with clean water to cleanse the affected areas. Those persons who complain of further severe effects shall be examined by appropriate medical personnel.

303.8 POST-APPLICATION NOTICE

Whenever tear gas or OC has been introduced into a residence, building interior, vehicle or other enclosed area, officers should provide the owners or available occupants with notice of the possible presence of residue that could result in irritation or injury if the area is not properly cleaned. Such notice should include advisement that clean up will be at the owner's expense. Information regarding the method of notice and the individuals notified should be included in related reports.

303.9 KINETIC ENERGY PROJECTILE GUIDELINES

This department is committed to reducing the potential for violent confrontations. Kinetic energy projectiles, when used properly, are less likely to result in death or serious physical injury and can be used in an attempt to de-escalate a potentially deadly situation.

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303.9.1 DEPLOYMENT AND USE

Only department-approved kinetic energy munitions shall be carried and deployed. Approved munitions may be used to compel an individual to cease his/her actions when such munitions present a reasonable option.

Officers are not required or compelled to use approved munitions in lieu of other reasonable tactics if the involved officer determines that deployment of these munitions cannot be done safely. The safety of hostages, innocent persons and officers takes priority over the safety of subjects engaged in criminal or suicidal behavior.

Circumstances appropriate for deployment include, but are not limited to, situations in which:

- (a) The suspect is armed with a weapon and the tactical circumstances allow for the safe application of approved munitions.
- (b) The suspect has made credible threats to harm him/herself or others.
- (c) The suspect is engaged in riotous behavior or is throwing rocks, bottles or other dangerous projectiles at people and/or officers.
- (d) There is probable cause to believe that the suspect has already committed a crime of violence and is refusing to comply with lawful orders.

303.9.2 DEPLOYMENT CONSIDERATIONS

Before discharging projectiles, the officer should consider such factors as:

- (a) Distance and angle to target.
- (b) Type of munitions employed.
- (c) Type and thickness of subject's clothing.
- (d) The subject's proximity to others.
- (e) The location of the subject.
- (f) Whether the subject's actions dictate the need for an immediate response and the use of control devices appears appropriate.

A verbal warning of the intended use of the device should precede its application, unless it would otherwise endanger the safety of officers or when it is not practicable due to the circumstances. The purpose of the warning is to give the individual a reasonable opportunity to voluntarily comply and to warn other officers and individuals that the device is being deployed.

Officers should keep in mind the manufacturer's recommendations and their training regarding effective distances and target areas. However, officers are not restricted solely to use according to manufacturer recommendations. Each situation must be evaluated on the totality of circumstances at the time of deployment.

The need to immediately incapacitate the subject must be weighed against the risk of causing serious injury or death. The head and neck should not be intentionally targeted, except when the

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officer reasonably believes the suspect poses an imminent threat of serious bodily injury or death to the officer or others.

303.9 CROWD CONTROL GUIDELINES

Tear gas (e.g., OC, CS, similar chemicals that accomplish the same effect) administered by shell, cartridge, or explosive device shall not be used for crowd control except in circumstances that constitute a riot. A riot is when a person commits the crime of riot if while participating with five or more other persons, the person engages in tumultuous and violent conduct and thereby intentionally or recklessly creates a grave risk of causing public alarm (ORS 166.015; 2020 Oregon Laws, c.8, § 1).

Prior to the deployment of tear gas under these circumstances, [officers_deputies] shall, in the following order (2020 Oregon Laws, c.8, § 1):

- (a) Announce the intent to use tear gas.
- (b) Allow sufficient time for individuals to evacuate the area, and
- (c) Announce for a second time, immediately before usage, the intent to use tear gas.

303.10 TRAINING FOR CONTROL DEVICES

The Training Sergeant shall ensure that all personnel who are authorized to carry a control device have been properly trained and certified to carry the specific control device and are retrained or recertified as necessary.

- (a) Proficiency training shall be monitored and documented by a certified, control-device weapons or tactics instructor.
- (b) All training and proficiency for control devices will be documented in the officer's training file.
- (c) Officers who fail to demonstrate proficiency with the control device or knowledge of this agency's Use of Force Policy will be provided remedial training. If an officer cannot demonstrate proficiency with a control device or knowledge of this agency's Use of Force Policy after remedial training, the officer will be restricted from carrying the control device and may be subject to discipline.

303.11 REPORTING USE OF CONTROL DEVICES AND TECHNIQUES

Any application of a control device or technique listed in this policy shall be documented in the related incident report and reported pursuant to the Use of Force Policy.

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- (d) When practicable and legally permitted, video or audio record all significant statements and observations.
- (e) All injuries should be photographed, regardless of severity, taking care to preserve the victim's personal privacy. Where practicable, photographs should be taken by a person of the same sex. Victims whose injuries are not visible at the time of the incident should be asked to contact the Case Officer in the event that the injuries later become visible.
- (f) Officers should request that the victim complete and sign an authorization for release of medical records related to the incident when applicable.
- (g) If the suspect is no longer at the scene, officers should make reasonable efforts to locate the suspect to further the investigation, provide the suspect with an opportunity to make a statement, and make an arrest or seek an arrest warrant if appropriate.
- (h) Seize any firearms or other dangerous weapons in the home, if appropriate and legally permitted, for safekeeping or as evidence.
- (i) When completing an incident or arrest report for violation of a court order, officers should include specific information that establishes that the offender has been served, including the date the offender was served, the name of the agency that served the order, and the provision of the order that the subject is alleged to have violated. When reasonably available, the arresting officer should attach a copy of the order to the incident or arrest report.
- (j) Officers should take appropriate enforcement action when there is probable cause to believe an offense has occurred. Factors that should not be used as sole justification for declining to take enforcement action include:
 - 1. ~~Marital status of suspect and victim.~~
 - 2. Whether the suspect lives on the premises with the victim.
 - 3. Claims by the suspect that the victim provoked or perpetuated the violence.
 - 4. The potential financial or child custody consequences of arrest.
 - 5. The physical or emotional state of either party.
 - 6. Use of drugs or alcohol by either party.
 - 7. Denial that the abuse occurred where evidence indicates otherwise.
 - 8. A request by the victim not to arrest the suspect.
 - 9. Location of the incident (public/private).
 - 10. Speculation that the complainant may not follow through with the prosecution.
 - 11. ~~The racial, cultural, social, professional position or sexual orientation~~ Actual or perceived characteristics such as race, ethnicity, national origin, religion, sex, sexual orientation, gender identity or expression, economic status, age, cultural group, disability, or marital status of the victim or suspect.
 - 12. The social status, community status, or professional position of the victim or suspect.

Discriminatory Harassment

313.1 PURPOSE AND SCOPE

The purpose of this policy is to prevent department members from being subjected to discriminatory harassment, including sexual harassment and retaliation. Nothing in this policy is intended to create a legal or employment right or duty that is not created by law.

This policy also applies to department elected officials (~~2019 Oregon Laws, c. 463, § 2~~ [ORS 243.319](#)).

313.2 POLICY

The Hubbard Police Department is an equal opportunity employer and is committed to creating and maintaining a work environment that is free of all forms of discriminatory harassment, including sexual harassment and retaliation. The Department will not tolerate discrimination against ~~members~~ a member in hiring, promotion, discharge, compensation, fringe benefits, and other privileges of employment. The Department will take preventive and corrective action to address any behavior that violates this policy or the rights and privileges it is designed to protect.

The ~~non-discrimination~~ nondiscrimination policies of the Department may be more comprehensive than state or federal law. Conduct that violates this policy may not violate state or federal law but still could subject a member to discipline.

313.3 DEFINITIONS

Definitions related to this policy include:

313.3.1 DISCRIMINATION

The Department prohibits all forms of discrimination, including any employment-related action by a member that adversely affects an applicant or member and is based on ~~the~~ actual or perceived race, ethnicity, national origin, religion, sex, sexual orientation, gender identity or expression, age, disability, pregnancy, genetic information, veteran status, marital status, and any other classification or status protected by law (~~e.g.,~~ [ORS 659A.030](#); [ORS 659A.082](#); [ORS 659A.112](#)).

Discriminatory harassment, including sexual harassment, is verbal or physical conduct that demeans or shows hostility or aversion toward an individual based upon that individual's protected class. It has the effect of interfering with an individual's work performance or creating a hostile or abusive work environment.

Conduct that may, under certain circumstances, constitute discriminatory harassment ~~—~~ can include making derogatory comments; making crude and offensive statements or remarks; making slurs or off-color jokes; stereotyping; engaging in threatening acts; making indecent gestures, pictures, cartoons, posters, or material; making inappropriate physical contact; or using written material or department equipment and/or systems to transmit or receive offensive material, statements, or pictures. Such conduct is contrary to the department policy and to ~~the department commitment to~~ a work environment that is free of discrimination.

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313.3.2 SEXUAL HARASSMENT

The Department prohibits all forms of discrimination and discriminatory harassment, including sexual harassment. It is unlawful to harass an applicant or a member because of that person's sex.

Sexual harassment includes but is not limited to unwelcome sexual advances, requests for sexual favors, or other verbal, visual, or physical conduct of a sexual nature when:

- (a) Submission to such conduct is made either explicitly or implicitly as a term or condition of employment, position, or compensation.
- (b) Submission to, or rejection of, such conduct is used as the basis for any employment decisions affecting the member.
- (c) Such conduct has the purpose or effect of substantially interfering with a member's work performance or creating an intimidating, hostile, or offensive work environment.

313.3.3 ADDITIONAL CONSIDERATIONS

Discrimination and discriminatory harassment do not include actions that are in accordance with established rules, principles, or standards, including:

- (a) Acts or omission of acts based solely upon bona fide occupational qualifications under Equal Employment Opportunity Commission (EEOC) and the Oregon Bureau of Labor and Industries' Civil Rights Division.
- (b) Bona fide requests or demands by a supervisor that ~~a~~ the member improve ~~his/her~~ the member's work quality or output, that the member report to the job site on time, that the member comply with City or ~~department~~ department rules or regulations, or any other appropriate work-related communication between supervisor ~~and the member~~ and member.

313.3.4 RETALIATION

~~Retaliation~~ Retaliation is treating a person differently or engaging in acts of reprisal or intimidation against the person because ~~he/she~~ the person has engaged in protected activity, filed a charge of discrimination, participated in an investigation, or opposed a discriminatory practice. Retaliation will not be tolerated.

313.4 RESPONSIBILITIES

This policy applies to all department members, who shall follow the intent of these guidelines in a manner that reflects department policy, professional ~~law enforcement~~ standards, and the best interest of the Department and its mission.

Members are encouraged to promptly report any discriminatory, retaliatory, or harassing conduct or known violations of this policy to a supervisor. Any member who is not comfortable with reporting violations of this policy to ~~his/her~~ the member's immediate supervisor may bypass the chain of command and make the report to a higher-ranking supervisor or manager. Complaints may also be filed with the Chief of Police, ~~Personnel~~ the Personnel Officer, or the City Council.

Any member who believes, in good faith, that ~~he/she~~ the member has been discriminated against, harassed, or subjected to retaliation, or who has observed harassment, discrimination,

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or retaliation, is encouraged to promptly report such conduct in accordance with the procedures set forth in this policy.

Supervisors and managers receiving information regarding alleged violations of this policy shall determine if there is any basis for the allegation and shall proceed with a resolution as stated below.

313.4.1 SUPERVISOR RESPONSIBILITIES

The responsibilities of ~~each supervisor and manager~~ supervisors and managers shall include but are not limited to:

- (a) Continually monitoring the work environment and striving to ensure that it is free from all types of unlawful discrimination, including harassment, or retaliation.
- (b) Taking prompt, appropriate action within their work units to avoid and minimize the incidence of any form of discrimination, harassment, or retaliation.
 1. Unless a member objects in writing, a supervisor designated by the Chief of Police shall follow up with a member once every three months for a year following the date on which the member reported the incident to determine whether the alleged harassment has stopped or if the member has experienced retaliation (~~2019 Oregon Laws, c. 463, § 3~~ ORS 243.321).
- (c) Ensuring that their subordinates understand their responsibilities under this policy.
- (d) Ensuring that members who make complaints or who oppose any unlawful employment practices are protected from retaliation and that such matters are kept confidential to the extent possible.
- (e) Making a timely determination regarding the substance of any allegation based upon all available facts.
- (f) Notifying the Chief of Police or the Personnel Officer in writing of the circumstances surrounding any reported allegations or observed acts of discrimination, harassment, or retaliation no later than the next business day.

313.4.1 QUESTIONS OR CLARIFICATION

Members with questions regarding what constitutes discrimination, sexual harassment, or retaliation are encouraged to contact a supervisor, a manager, the Chief of Police, the Personnel Officer, or the City Council for further information, direction, or clarification.

313.4.2 SUPERVISOR'S ROLE

Supervisors and managers shall be aware of the following ~~considerations~~:

- (a) Behavior of supervisors and managers should represent the values of the Department and professional ~~law enforcement~~ standards.
- (b) False or mistaken accusations of discrimination, harassment, or retaliation can have negative effects on the careers of innocent members.

Nothing in this section shall be construed to prevent supervisors or managers from discharging supervisory or management responsibilities, such as determining duty assignments, evaluating

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or counseling members, or issuing discipline, in a manner that is consistent with established procedures.

313.5 INVESTIGATION OF COMPLAINTS

Various methods of resolution exist. During the pendency of any such investigation, the supervisor of the involved member should take prompt and reasonable steps to mitigate or eliminate any continuing abusive or hostile work environment. It is the policy of the Department that all complaints of discrimination, retaliation, or harassment shall be fully documented, and promptly and thoroughly investigated.

313.5.1 ~~SUPERVISORY~~ SUPERVISOR RESOLUTION

Members who believe they are experiencing discrimination, harassment, or retaliation should be encouraged to inform the individual that ~~his/her~~ the behavior is unwelcome, offensive, unprofessional, or inappropriate. However, if the member feels uncomfortable, ~~or~~ threatened or has difficulty expressing ~~his/her~~ the member's concern, or if this does not ~~solve~~ resolve the concern, assistance should be sought from a supervisor or manager who is a rank higher than the alleged transgressor.

313.5.2 FORMAL INVESTIGATION

If the complaint cannot be satisfactorily resolved through the process described above, a formal investigation will be conducted.

The person assigned to investigate the complaint will have full authority to investigate all aspects of the complaint. Investigative authority includes access to records and the cooperation of any members involved. No influence will be used to suppress any complaint and no member will be subject to retaliation or reprisal for filing a complaint, encouraging others to file a complaint, or for offering testimony or evidence in ~~any~~ an investigation (ORS 659A.199).

Formal investigation of the complaint will be confidential to the extent possible and will include, but ~~is not be~~ limited to, details of the specific incident, frequency and dates of occurrences, and names of any witnesses. Witnesses will be advised regarding the prohibition against retaliation, and that a disciplinary process, up to and including termination, may result if retaliation occurs.

Members who believe they have been discriminated against, harassed, or retaliated against because of their protected status are encouraged to follow the chain of command but may also file a complaint directly with the Chief of Police, the Personnel Officer, or the City Council.

313.5.3 ALTERNATIVE COMPLAINT PROCESS

No provision of this policy shall be construed to prevent any member from seeking legal redress outside the ~~Department~~ Department. Members who believe that they have been harassed ~~or~~ discriminated against, or retaliated against are entitled to bring complaints of employment discrimination to federal, state, and/or local agencies responsible for investigating such allegations. Specific time limitations apply to the filing of such charges. Members are advised that proceeding with complaints under the provisions of this policy does not in any way affect those filing requirements.

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313.6 NOTIFICATION OF DISPOSITION

~~The complainant and/or victim will be notified in writing of the disposition of the investigation and the action taken to remedy or address the circumstances giving rise to the complaint.~~

313.7 DOCUMENTATION OF COMPLAINTS

All complaints or allegations shall be thoroughly documented on the appropriate forms and in a manner designated by the Chief of Police. The outcome of all reports shall be:

- Approved by the Chief of Police, the City Council, or the Personnel Officer, depending on the ranks of the involved parties.
- Maintained in accordance with the established records retention schedule.

313.7.1 NOTIFICATION OF DISPOSITION

The complainant and/or victim will be notified in writing of the disposition of the investigation and the actions taken to remedy or address the circumstances giving rise to the complaint.

313.8 TRAINING

All new members shall be provided with a copy of this policy as part of their orientation. The policy shall be reviewed with each new member. The member shall certify by signing the prescribed form that ~~he/she~~ the member has been advised of this policy, is aware of and understands its contents, and agrees to abide by its provisions during ~~his/her~~ the member's term with the Department.

All members shall receive annual training on the requirements of this policy and shall certify by signing the prescribed form that they have reviewed the policy, understand its contents, and agree that they will continue to abide by its provisions.

313.8.1 QUESTIONS OR CLARIFICATION

~~Members with questions regarding what constitutes discrimination, sexual harassment or retaliation are encouraged to contact a supervisor, manager, the Chief of Police, Personnel Officer or the City Council for further information, direction or clarification.~~

313.9 ADDITIONAL REQUIREMENTS

The Personnel Officer should consult with the City Human Resources manager to ensure that all required notifications regarding unlawful employment discrimination are available to all employees.

When any member complains about discriminatory harassment, the person receiving the complaint should provide a copy of this policy to the member (~~2019 Oregon Laws, c. 463, § 2~~ ORS 243.319).

A member may file a complaint with the Bureau of Labor and Industries and also may have other legal remedies under Oregon law (~~2019 Oregon Laws, c. 463, § 2~~ ORS 243.319).

- (a) Administrative complaints regarding federal discrimination claims must be filed within 300 days of the alleged unlawful employment practice (42 USC §2000e-5(e)(1)).

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- (b) Administrative complaints regarding state discrimination claims must be filed within five years of the alleged unlawful employment practice (ORS 659A.820(3)).
- (c) A civil lawsuit alleging state discrimination claims must be filed within five years of the alleged unlawful employment practice (ORS 659A.875).
- (d) A civil lawsuit alleging federal discrimination claims must be filed within 90 days of the receipt of a right to sue letter from the Bureau of Labor and Industries and/or the EEOC (42 USC §2000e-16(c)).
- (e) The statute of limitations periods for crimes related to sexual harassment vary from two to 12 years.
- (f) Claims made against the Hubbard Police Department require advance notice pursuant to ORS 30.275 (~~2019 Oregon Laws, c. 463, § 2~~ [ORS 243.319](#)).

A member may file a complaint with the Department within four years from the date of the alleged incident or within the time limitation specified in ORS 659A.875, whichever is greater (~~2019 Oregon Laws, c. 463, § 3~~ [ORS 243.321](#)).

A member who believes ~~he/she~~ the member has been subjected to workplace harassment may access available community services and any support services provided by the Department, such as the employee assistance program (~~2019 Oregon Laws, c. 463, § 2~~ [ORS 243.321](#)).

No member will be required or coerced into a nondisclosure (confidentiality) or nondisparagement (an agreement not to say anything negative about the Hubbard Police Department or its members in any form of communication) agreement. A member may voluntarily enter into an agreement that contains a nondisclosure or nondisparagement provision and has a minimum of seven days to revoke said agreement (~~2019 Oregon Laws, c. 463, § 2~~ [ORS 243.321](#)).

Hate Crimes

318.1 PURPOSE AND SCOPE

The purpose of this policy is to provide members of this department with guidelines for identifying and investigating incidents and crimes that may be motivated by hatred or other bias.

318.1.1 DEFINITIONS

Definitions related to this policy include:

Hate crime - A bias crime motivated by prejudice based on ~~the~~ actual or perceived race, color, religion, national origin, ethnicity, gender, sexual orientation, gender identity or expression, or disability, ~~or national origin~~ of the ~~victim-~~ victim (ORS 166.155; ORS 166.165).

318.2 PREVENTION AND PREPARATION

While it is recognized that not all crime can be prevented, this department is committed to taking a proactive approach to preventing and preparing for likely hate crimes by:

- (a) Making an affirmative effort to establish contact with persons and groups within the community who are likely targets of hate crimes and forming networks that address prevention and response.
- (b) Providing victim assistance and community follow-up or identifying available resources to do so.
- (c) Educating community and civic groups about hate crime laws.

318.3 INVESTIGATIONS

Whenever any member of this department receives a report of a suspected hate crime or other activity that reasonably appears to involve a potential hate crime, the following should occur:

- (a) Assigned officers should promptly contact the victim, witness, or reporting party to investigate the matter further, as circumstances may dictate.
- (b) A supervisor should be notified of the circumstances as soon as practicable.
- (c) Once the in-progress aspect of any such situation has been stabilized (e.g., treatment of victims or arrest of suspects at the scene), the assigned officers should take reasonable steps to preserve evidence that establishes a possible hate crime.
- (d) Based upon available information, officers should take appropriate action to mitigate further injury or damage to potential victims or the community.
- (e) Depending on the situation, the assigned officers or supervisor may request assistance from investigators or other resources.
- (f) The assigned officers should interview available witnesses, victims, and others to determine what circumstances, if any, indicate that the situation may involve a hate crime.

Standards of Conduct

319.1 PURPOSE AND SCOPE

This policy establishes standards of conduct that are consistent with the values and mission of the Hubbard Police Department and are expected of all department members. The standards contained in this policy are not intended to be an exhaustive list of requirements and prohibitions but they do identify many of the important matters concerning conduct. In addition to the provisions of this policy, members are subject to all other provisions contained in this manual, as well as any additional guidance on conduct that may be disseminated by this department or a member's supervisors.

319.2 POLICY

The continued employment or appointment of every member of the Hubbard Police Department shall be based on conduct that reasonably conforms to the guidelines set forth herein. Failure to meet the guidelines set forth in this policy, whether on- or off-duty, may be cause for disciplinary action.

319.3 DIRECTIVES AND ORDERS

Members shall comply with lawful directives and orders from any department supervisor or person in a position of authority, absent a reasonable and bona fide justification.

319.3.1 UNLAWFUL OR CONFLICTING ORDERS

Supervisors shall not knowingly issue orders or directives that, if carried out, would result in a violation of any law or department policy. Supervisors should not issue orders that conflict with any previous order without making reasonable clarification that the new order is intended to countermand the earlier order.

No member is required to obey any order that appears to be in direct conflict with any federal law, state law or local ordinance. Following a known unlawful order is not a defense and does not relieve the member from criminal or civil prosecution or administrative discipline. If the legality of an order is in doubt, the affected member shall ask the issuing supervisor to clarify the order or shall confer with a higher authority. The responsibility for refusal to obey rests with the member, who shall subsequently be required to justify the refusal.

Unless it would jeopardize the safety of any individual, members who are presented with a lawful order that is in conflict with a previous lawful order, department policy or other directive shall respectfully inform the issuing supervisor of the conflict. The issuing supervisor is responsible for either resolving the conflict or clarifying that the lawful order is intended to countermand the previous lawful order or directive, in which case the member is obliged to comply. Members who are compelled to follow a conflicting lawful order after having given the issuing supervisor the opportunity to correct the conflict, will not be held accountable for disobedience of the lawful order or directive that was initially issued.

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The person countermanding the original order shall notify, in writing, the person issuing the original order, indicating the action taken and the reason.

319.3.2 SUPERVISOR RESPONSIBILITIES

Supervisors and managers are required to follow all policies and procedures and may be subject to discipline for:

- (a) Failure to be reasonably aware of the performance of their subordinates or to provide appropriate guidance and control.
- (b) Failure to promptly and fully report any known misconduct of a member to his/her immediate supervisor or to document such misconduct appropriately or as required by policy.
- (c) Directing a subordinate to violate a policy or directive, acquiesce to such a violation, or are indifferent to any such violation by a subordinate.
- (d) The unequal or disparate exercise of authority on the part of a supervisor toward any member for malicious or other improper purpose.

319.4 GENERAL STANDARDS

Members shall conduct themselves, whether on- or off-duty, in accordance with the United States and Oregon ~~Constitutions~~ constitutions and all applicable laws, ordinances, and rules enacted or established pursuant to legal authority.

Members shall familiarize themselves with policies and procedures and are responsible for compliance with each. Members should seek clarification and guidance from supervisors in the event of any perceived ambiguity or uncertainty.

Discipline may be initiated for any good cause. It is not mandatory that a specific policy or rule violation be cited to sustain discipline. This policy is not intended to cover every possible type of misconduct.

319.5 CAUSES FOR DISCIPLINE

The following are illustrative of causes for disciplinary action. This list is not intended to cover every possible type of misconduct and does not preclude the recommendation of disciplinary action for violation of other rules, standards, ethics and specific action or inaction that is detrimental to efficient department service.

319.5.1 LAWS, RULES AND ORDERS

- (a) Violation of, or ordering or instructing a subordinate to violate any policy, procedure, rule, order, directive, requirement or failure to follow instructions contained in department or City manuals.
- (b) Disobedience of any legal directive or order issued by any department member of a higher rank.
- (c) Violation of federal, state, local or administrative laws, rules or regulations.

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319.5.2 ETHICS

- (a) Using or disclosing one's status as a member of the Hubbard Police Department in any way that could reasonably be perceived as an attempt to gain influence or authority for non-department business or activity.
- (b) The wrongful or unlawful exercise of authority on the part of any member for malicious purpose, personal gain, willful deceit or any other improper purpose.
- (c) The receipt or acceptance of a reward, fee or gift from any person for service incident to the performance of the member's duties (lawful subpoena fees and authorized work permits excepted).
- (d) Acceptance of fees, gifts or money contrary to the rules of this department and/or laws of the state.
- (e) Offer or acceptance of a bribe or gratuity.
- (f) Misappropriation or misuse of public funds, property, personnel or services.
- (g) Any other failure to abide by the standards of ethical conduct.

319.5.3 DISCRIMINATION, OPPRESSION, OR FAVORITISM

~~Discriminating~~ Unless required by law or policy, ~~discriminating~~ against, oppressing, or providing favoritism to any person because of ~~age, actual or perceived characteristics such as race, color, ethnicity, creed, national origin, religion, sex, sexual orientation, gender identity or expression, national origin, age, ancestry, disability, economic status, cultural group, veteran status, marital status, physical or mental disability, medical condition or~~ and any other classification or status protected by law, or intentionally denying or impeding another in the exercise or enjoyment of any right, privilege, power, or immunity, knowing the conduct is unlawful.

319.5.4 RELATIONSHIPS

- (a) Unwelcome solicitation of a personal or sexual relationship while on-duty or through the use of one's official capacity.
- (b) Engaging in on-duty sexual activity including, but not limited to, sexual intercourse, excessive displays of public affection or other sexual contact.
- (c) Establishing or maintaining an inappropriate personal or financial relationship, as a result of an investigation, with a known victim, witness, suspect or defendant while a case is being investigated or prosecuted, or as a direct result of any official contact.
- (d) Associating with or joining a criminal gang, organized crime and/or criminal syndicate when the member knows or reasonably should know of the criminal nature of the organization. This includes any organization involved in a definable criminal activity or enterprise, except as specifically directed and authorized by this department.
- (e) Associating on a personal, rather than official basis with persons who demonstrate recurring involvement in serious violations of state or federal laws after the member knows, or reasonably should know of such criminal activities, except as specifically directed and authorized by this department.

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319.5.5 ATTENDANCE

- (a) Leaving the job to which the member is assigned during duty hours without reasonable excuse and proper permission and approval.
- (b) Unexcused or unauthorized absence or tardiness.
- (c) Excessive absenteeism or abuse of leave privileges.
- (d) Failure to report to work or to the place of assignment at the time specified and fully prepared to perform duties without reasonable excuse.

319.5.6 UNAUTHORIZED ACCESS, DISCLOSURE, OR USE

(a)

~~Unauthorized~~ ~~release~~ ~~Unauthorized~~ and inappropriate intentional release of confidential or protected information, materials, data, forms, or reports obtained as a result of the member's position with this ~~department~~ department.

- (b) Disclosing to any unauthorized person any active investigation information.
- (c) The use of any information, photograph, video, or other recording obtained or accessed as a result of employment or appointment to this ~~department~~ department for personal or financial gain or without the express authorization of the ~~Chief~~ Chief of Police or the authorized designee.
- (d) Loaning, selling, allowing unauthorized use, giving away, or appropriating any ~~Hubbard Police Department badge, uniform, identification card or department~~ department property for personal use, personal gain, or any other improper or unauthorized use or purpose.
- (e) Using ~~department~~ department resources in association with any portion of an independent civil action. These resources include, but are not limited to, personnel, vehicles, equipment, and non-subpoenaed records.

319.5.7 EFFICIENCY

- (a) Neglect of duty.
- (b) Unsatisfactory work performance including, but not limited to, failure, incompetence, inefficiency, or delay in performing and/or carrying out proper orders, work assignments, or the instructions of supervisors without a reasonable and bona fide excuse.
- (c) Concealing, attempting to conceal, removing, or destroying defective or incompetent work.
- (d) Unauthorized sleeping during on-duty time or assignments.
- (e) Failure to notify the ~~Department~~ Department within 24 hours of any change in residence address, or contact ~~telephone numbers or marital status~~.
- (f) Failure to notify the Administration of changes in relevant personal information (e.g., information associated with benefits determination) in a timely fashion.

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319.5.8 PERFORMANCE

- (a) Failure to disclose or misrepresenting material facts, or making any false or misleading statement on any application, examination form, or other official document, report or form, or during the course of any work-related investigation.
- (b) The falsification of any work-related records, making misleading entries or statements with the intent to deceive or the willful and unauthorized removal, alteration, destruction and/or mutilation of any department record, public record, book, paper or document.
- (c) Failure to participate in, or giving false or misleading statements, or misrepresenting or omitting material information to a supervisor or other person in a position of authority, in connection with any investigation or in the reporting of any department-related business.
- (d) Being untruthful or knowingly making false, misleading or malicious statements that are reasonably calculated to harm the reputation, authority or official standing of this department or its members.
- (e) Disparaging remarks or conduct concerning duly constituted authority to the extent that such conduct disrupts the efficiency of this department or subverts the good order, efficiency and discipline of this department or that would tend to discredit any of its members.
- (f) Unlawful gambling or unlawful betting at any time or any place. Legal gambling or betting under any of the following conditions:
 - 1. While on department premises.
 - 2. At any work site, while on-duty or while in uniform, or while using any department equipment or system.
 - 3. Gambling activity undertaken as part of an officer's official duties and with the express knowledge and permission of a direct supervisor is exempt from this prohibition.
- (g) Improper political activity including:
 - 1. Unauthorized attendance while on-duty at official legislative or political sessions.
 - 2. Solicitations, speeches or distribution of campaign literature for or against any political candidate or position while on-duty or on department property except as expressly authorized by City policy, the collective bargaining agreement, or the Chief of Police.
- (h) Engaging in political activities during assigned working hours except as expressly authorized by City policy, the collective bargaining agreement, or the Chief of Police.
- (i) Any act on- or off-duty that brings discredit to this department.

319.5.9 CONDUCT

- (a) Failure of any member to promptly and fully report activities on his/her part or the part of any other member where such activities resulted in contact with any other law

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enforcement agency or that may result in criminal prosecution or discipline under this policy.

- (b) Unreasonable and unwarranted force to a person encountered or a person under arrest.
- (c) Exceeding lawful peace officer powers by unreasonable, unlawful or excessive conduct.
- (d) Unauthorized or unlawful fighting, threatening or attempting to inflict unlawful bodily harm on another.
- (e) Engaging in horseplay that reasonably could result in injury or property damage.
- (f) Discourteous, disrespectful or discriminatory treatment of any member of the public or any member of this department or the City.
- (g) Use of obscene, indecent, profane or derogatory language while on--duty or in uniform.
- (h) Criminal, dishonest, or disgraceful conduct, whether on- or off-duty, that adversely affects the member's relationship with this department.
- (i) Unauthorized possession of, loss of, or damage to department property or the property of others, or endangering it through carelessness or maliciousness.
- (j) Attempted or actual theft of department property; misappropriation or misuse of public funds, property, personnel or the services or property of others; unauthorized removal or possession of department property or the property of another person.
- (k) Activity that is incompatible with a member's conditions of employment or appointment as established by law or that violates a provision of any collective bargaining agreement or contract to include fraud in securing the appointment or hire.
- (l) Initiating any civil action for recovery of any damages or injuries incurred in the course and scope of employment or appointment without first notifying the Chief of Police of such action.
- (m) Any other on-- or off--duty conduct which any member knows or reasonably should know is unbecoming a member of this department, is contrary to good order, efficiency or morale, or tends to reflect unfavorably upon this department or its members.

319.5.10 SAFETY

- (a) Failure to observe or violating department safety standards or safe working practices.
- (b) Failure to maintain current licenses or certifications required for the assignment or position (e.g., driver's license, first aid).
- (c) Failure to maintain good physical condition sufficient to adequately and safely perform law enforcement duties.
- (d) Unsafe firearm or other dangerous weapon handling to include loading or unloading firearms in an unsafe manner, either on- or off-duty.
- (e) Carrying, while on the premises of the work place, any firearm or other lethal weapon that is not authorized by the member's appointing authority.

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- (f) Unsafe or improper driving habits or actions in the course of employment or appointment.
- (g) Any personal action contributing to a preventable traffic collision.
- (h) Concealing or knowingly failing to report any on-the-job or work-related accident or injury as soon as practicable but within 24 hours.

319.5.11 INTOXICANTS

- (a) Reporting for work or being at work while intoxicated or when the member's ability to perform assigned duties is impaired due to the use of alcohol, medication or drugs, whether legal, prescribed or illegal.
- (b) Possession or use of alcohol at any work site or while on-duty, except as authorized in the performance of an official assignment. A member who is authorized to consume alcohol is not permitted to do so to such a degree that it may impair on-duty performance.
- (c) Unauthorized possession, use of, or attempting to bring a controlled substance, illegal drug or non-prescribed medication to any work site.

First Amendment Assemblies

- The potential time, duration, scope, and type of planned activities.
- Any other information related to the goal of providing a balanced response to criminal activity and the protection of public safety interests.

Information should be obtained in a transparent manner, and the sources documented. Relevant information should be communicated to the appropriate parties in a timely manner.

Information will be obtained in a lawful manner and will not be based solely on the purpose or content of the assembly or demonstration, or ~~the actual or perceived characteristics such as~~ race, ethnicity, national origin ~~or religion of~~, religion, sex, sexual orientation, gender identity or expression, economic status, age, cultural group, or disability of the participants (or any other characteristic that is unrelated to criminal conduct or the identification of a criminal subject).

425.5.2 OPERATIONAL PLANS

An operational planning team with responsibility for event planning and management should be established. The planning team should develop an operational plan for the event.

The operational plan will minimally provide for:

- (a) Command assignments, chain of command structure, roles and responsibilities.
- (b) Staffing and resource allocation.
- (c) Management of criminal investigations
- (d) Designation of uniform of the day and related safety equipment (e.g., helmets, shields).
- (e) Deployment of specialized resources.
- (f) Event communications and interoperability in a multijurisdictional event.
- (g) Liaison with demonstration leaders and external agencies.
- (h) Liaison with City government and legal staff.
- (i) Media relations.
- (j) Logistics: food, fuel, replacement equipment, duty hours, relief and transportation.
- (k) Traffic management plans.
- (l) First aid and emergency medical service provider availability.
- (m) Prisoner transport and detention.
- (n) Review of policies regarding public assemblies and use of force in crowd control.
- (o) Parameters for declaring an unlawful assembly.
- (p) Arrest protocol, including management of mass arrests.
- (q) Protocol for recording information flow and decisions.
- (r) Rules of engagement, including rules of conduct, protocols for field force extraction and arrests, and any authorization required for the use of force.
- (s) Protocol for handling complaints during the event.

Grievance Procedure

1004.1 PURPOSE AND SCOPE

It is the policy of this department that all grievances be handled quickly and fairly without discrimination against employees who file a grievance whether or not there is a basis for the grievance. This department's philosophy is to promote a free verbal communication between employees and supervisors.

1004.1.1 GRIEVANCE DEFINED

For the purposes of this procedure a grievance is any difference of opinion concerning terms or conditions of employment, or a dispute involving the interpretation, or application of any ~~department~~ department policies or City rules and regulations covering personnel practices or working conditions, by the affected persons.

Grievances may be brought by an ~~individual~~ individually affected employee or by a group representative.

Specifically outside the category of ~~grievance~~ grievances are complaints related to ~~alleged acts of sexual, racial, ethnic or other forms of unlawful harassment, as well as complaints related to allegations of discrimination on the basis of sex, race, religion, ethnic background and other lawfully protected status or activity are subject to the complaint options set forth in the Discriminatory Harassment Policy; and personnel complaints consisting of any~~ to allegations of discrimination or harassment subject to the Discriminatory Harassment Policy. Also outside the category of grievances are personnel complaints regarding any allegation of misconduct or improper job performance against any ~~department~~ department employee that, if true, would constitute a violation of ~~department~~ department policy, federal, state, or local law, as set forth in the Personnel Complaints Policy.

1004.1.2 DUPLICATE PROCEDURES

The grievance procedures set forth in this policy shall not be used in addition to other grievance procedures as may be in effect through the governing jurisdiction or the eligible employee's collective bargaining agreement.

Under no circumstances shall more than one administrative process be used to redress the same grievance, although use of this or other procedures does not preclude employees from seeking legal remedies as appropriate.

1004.2 PROCEDURE

If an employee believes that he or she has a grievance as defined above, then that employee shall observe the following procedure:

- (a) Attempt to resolve the issue through informal discussion with immediate supervisor.

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- (b) If after a reasonable amount of time, generally seven days, the grievance cannot be settled by the immediate supervisor, the employee may request an interview with the Sergeant/Supervisor of the affected division or division.
- (c) If a successful resolution is not found with the Sergeant/Supervisor, the employee may request a meeting with the Chief of Police.
- (d) If the employee and the Chief of Police are unable to arrive at a mutual solution, then the employee shall proceed as follows:
 - 1. Submit in writing a written statement of the grievance and deliver one copy to the Chief of Police and another copy to the immediate supervisor and include the following information:
 - (a) The basis for the grievance (i.e., what are the facts of the case?)
 - (b) Allegation of the specific wrongful act and the harm done.
 - (c) The specific policies, rules or regulations believed to have been violated.
 - (d) What remedy or goal is sought by this grievance.
- (e) The employee shall receive a copy of the acknowledgment signed by the supervisor including the date and time of receipt.
- (f) The Chief of Police will receive the grievance in writing. The Chief of Police and the City Council will review and analyze the facts or allegations and respond to the employee within 14 calendar days. The response will be in writing, and will affirm or deny the allegations. The response shall include any remedies if appropriate. The decision of the City Council is considered final.

1004.3 EMPLOYEE REPRESENTATION

Employees are entitled to have representation during the grievance process. The representative may be selected by the employee from the appropriate employee bargaining group.

1004.4 GRIEVANCE RECORDS

At the conclusion of the grievance process, all documents pertaining to the process shall be forwarded to Administration for inclusion into a secure file for all written grievances. A second copy of the written grievance will be maintained by the City Council's office to monitor the grievance process.

1004.5 ANNUAL REPORT OF GRIEVANCES

The Administration Sergeant/Supervisor will create a report to the Chief of Police no later than January 15 of every year that lists the grievances filed within the calendar year. The report will include the basis of the grievances, the findings of the grievances, and an analysis to determine trends or patterns of issues that could be remedied through training, policy modification, or correction of personnel performance.

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The report should not contain any identifying information from any individual grievance. The Training Sergeant should promptly notify the Chief of Police if the report identifies any policy manual content that may warrant a critical revision.

Reporting of ~~Employee Convictions~~ Arrests, Convictions, and Court Orders

1005.1 PURPOSE AND SCOPE

~~Member~~ The purpose of this policy is to describe the notification requirements and procedures that members must follow when certain arrests, convictions, and court orders ~~Convictions of certain offenses may restrict or prohibit an employee's~~ restrict their ability to properly perform the official duties; therefore, all employees shall be required to promptly notify the Department of any ~~past and current criminal convictions~~ and responsibilities of the Hubbard Police Department. This policy will also describe the notification requirements and procedures that certain retired officers must follow when an arrest, conviction, or court order disqualifies them from possessing a firearm.

1005.2 DOMESTIC VIOLENCE CONVICTIONS AND RESTRAINING ORDERS

~~Oregon~~ Oregon and federal law prohibit individuals convicted of certain offenses and individuals subject to certain court orders from lawfully possessing a firearm. Such convictions and court orders often involve allegations of the use or attempted use of force or threatened use of a weapon on any individual in a domestic relationship (e.g., spouse, cohabitant, parent, child) (18 USC § 922; ORS 107.095(5); ORS 166.255; ORS 166.270; ORS 166.527).

All members are responsible for ensuring that they have not been disqualified from possessing a firearm by any such conviction or court order and shall promptly report any such conviction or court order to a supervisor, as provided in this policy.

~~ORS 166.270 carries specific prohibitions on the carrying of firearms or other weapons upon a felony conviction in the State of Oregon, any other state or under federal law.~~

~~ORS 107.095(5) addresses when a restraining order can lead to a violation of the firearms prohibitions of 18 USC § 922. Employees that are or have become subject to such an order shall promptly report that information to a supervisor.~~

1005.2 POLICY

The Hubbard Police Department requires disclosure of member arrests, convictions, and certain court orders to maintain the high standards, ethics, and integrity in its workforce, and to ensure compatibility with the duties and responsibilities of the Department.

1005.3 OTHER CRIMINAL CONVICTIONS AND COURT ORDERS

OAR 259-008-~~0010(4)~~ 0300 prohibits any person convicted of a felony and certain other crimes from being a peace officer in the State of Oregon. This prohibition applies regardless of whether the guilt was established by way of a verdict, guilty, or nolo contendere plea.

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Convictions of certain violations of the Vehicle Code and other provisions of law may also place restrictions on an employee's ability to fully perform the duties of the job.

~~Moreover, while~~ While legal restrictions may or may not be imposed by statute or by the courts upon conviction of any criminal offense, criminal conduct by members of this ~~department~~ - ~~department~~ may be inherently in conflict with law enforcement duties and the public trust, and shall be reported as provided in this policy.

1005.4 REPORTINGPROCEDURE

~~All members of this department~~ All members and all retired officers with an identification card cards issued by the ~~Department~~ Department shall promptly notify their immediate supervisor (or the Chief of Police in the case of retired officers) in writing of any past or current criminal detention, arrest, or conviction regardless , charge, or conviction in any state or foreign country, regardless of whether ~~or not~~ the matter was dropped or rejected, is currently pending, or is on appeal, and regardless of the penalty or sentence, if any.

All members and all retired officers with an identification card- cards issued by the ~~Department~~ - ~~Department~~ shall further promptly notify their immediate supervisor (or the Chief of Police in the case of retired officers) in writing if they become the member or retiree becomes the subject of a domestic violence restraining order or ~~similar~~ any court order that prevents the member or retired officer from possessing a firearm or requires suspension or revocation of applicable DPSST certification.

Any member whose criminal arrest, conviction, unduly restricts , or court order restricts or prohibits that member from fully and properly performing his/her duties ~~may~~ , including carrying a firearm, may be disciplined ~~including~~ , This includes but is not limited to being placed on administrative leave, reassignment, and/or termination. Any effort to remove such disqualification or restriction shall remain entirely the responsibility of the member, on his/her own time and at his/her own expense.

Any member failing to provide prompt written notice pursuant to this policy shall be subject to discipline, up to and including termination.

Retired officers may have their identification cards rescinded or modified, as may be appropriate (see the Retiree Concealed Firearms Policy).

1005.5 PROCEDURE FOR RELIEF

A peace officer may petition the court for permission to carry a firearm following a conviction under state law. However, federal law does not provide for any such similar judicial relief and the granting of a state court petition under Oregon Revised Statutes 166.274 will not relieve one of the restrictions imposed by federal law. Therefore, relief for any employee falling under the restrictions imposed by federal law may only be obtained by expungement of the conviction. Each employee shall seek relief from firearm restrictions on their own time and through their own resources (Oregon Revised Statutes 166.274).

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An individual may petition the court for an exemption to any restraining order, which would thereafter permit the individual to carry a firearm as a part of their employment. Relief from any domestic violence or other restriction shall also be pursued through the employee's own resources and on the employee's own time (Oregon Revised Statutes 107.718).

Pending satisfactory proof of relief from any legal restriction imposed on an employee's duties, the employee may be placed on administrative leave, reassigned or disciplined. The Hubbard Police Department may, but is not required to return an employee to any assignment, reinstate any employee or reverse any pending or imposed discipline upon presentation of satisfactory proof of relief from any legal restriction set forth in this policy.

1005.6 DEPARTMENT OF PUBLIC STANDARDS AND TRAINING (DPSST) NOTIFICATION

~~An officer or dispatcher~~ An officer or dispatcher who is arrested or who receives a criminal citation to appear, or its equivalent, shall notify DPSST in writing within five business days of the following (OAR 259-008-0010~~(5)~~; OAR 259-008-0011~~(3)~~):

- (a) The date of the arrest or citation
- (b) The location of the arrest or citation
- (c) The reason for the arrest or citation
- (d) The arresting or citing agency

Personnel Records

1013.1 PURPOSE AND SCOPE

This policy governs maintenance and access to personnel records. Personnel records include any file maintained under an individual member's name.

1013.2 POLICY

It is the policy of this department to maintain personnel records and preserve the confidentiality of personnel records pursuant to the Constitution and the laws of Oregon (ORS 181A.830; ORS 192.355; ORS 652.750).

1013.3 DEPARTMENT FILE

~~The department~~ The department file shall be maintained ~~in the office of the Chief of Police~~ as a ~~permanent~~ record of a person's employment/appointment with this ~~department~~ department. The ~~department~~ department file should contain, at a minimum:

- (a) Personal data, including photographs, marital status, names of family members, educational and employment history, or similar information. A photograph of the member should be permanently retained.
- (b) Election of employee benefits.
- (c) Personnel action reports reflecting assignments, promotions, and other changes in employment/appointment status. These should be permanently retained.
- (d) Original performance evaluations. These should be permanently maintained.
- (e) Discipline records, including copies of sustained personnel complaints.
- (f) ~~Investigations resulting in disciplinary action or exoneration shall be retained for three years (cities) or two years (counties) after resolution and in accordance with the department established records retention schedule (OAR 166-200-0350; OAR 166-150-0135). Investigations resulting in termination shall be retained for 10 years after the member separation and in accordance with the department established records retention schedule (OAR 166-200-0350; OAR 166-150-0135). Unfounded investigation records and all related files not resulting in disciplinary action shall be retained for three years (cities) or one year (counties) and in accordance with the department established records retention schedule (OAR 166-200-0350; OAR 166-150-0135).~~ Adverse comments such as supervisor notes or memos may be retained in the ~~department~~ department file after the member has had the opportunity to read and initial the comment.
 1. Once a member has had an opportunity to read and initial any adverse comment, the member shall be given the opportunity to respond in writing to the adverse comment within 30 days (ORS 652.750).
 2. Any member response shall be attached to and retained with the original adverse comment.

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3. If a member refuses to initial or sign an adverse comment, at least one supervisor should note the date and time of such refusal on the original comment (ORS 652.750). Such a refusal, however, shall not be deemed insubordination, nor shall it prohibit the entry of the adverse comment into the member's file.
 - (g) Commendations and awards.
 - (h) Any other information, the disclosure of which would constitute an unwarranted invasion of personal privacy.

~~Unless otherwise noted, personnel files shall be retained for a minimum of six years after separation and in accordance with the department established records retention schedule (OAR 166-200-0305; OAR 166-150-0160).~~

1013.4 DIVISION FILE

Division files may be separately maintained internally by a member's supervisor for the purpose of completing timely performance evaluations. The Division file may contain supervisor comments, notes, notices to correct, and other materials that are intended to serve as a foundation for the completion of timely performance evaluations. Any adverse comments shall be provided to the officer prior to being placed in the file in accordance with ORS 652.750.

1013.5 TRAINING FILE

An individual training file shall be maintained by the Training Sergeant for each member. Training files will contain records of all training; original or photocopies of available certificates, transcripts, diplomas and other documentation; education; and firearms qualifications, including mandated annual qualification. Training records may also be created and stored remotely, either manually or automatically (e.g., Daily Training Bulletin (DTB) records).

- (a) It shall be the responsibility of the involved member to provide the Training Sergeant or immediate supervisor with evidence of completed training/education in a timely manner.
- (b) The Training Sergeant or supervisor shall ensure that copies of such training records are placed in the member's training file.

1013.6 INTERNAL AFFAIRS FILE

Internal affairs files shall be maintained under the exclusive control of the ~~Sergeant~~ Sergeant in conjunction with the office of the ~~Chief~~ Chief of Police. Access to these files may only be approved by the ~~Chief~~ Chief of Police or the ~~Sergeant~~ Sergeant supervisor.

These files shall contain the complete investigation of all formal complaints of member misconduct, regardless of disposition. Investigations of complaints that result in ~~a finding of not sustained, unfounded or exonerated~~ the following findings shall not be placed in the member's ~~department~~ department file but will be maintained in the internal affairs file. ~~These files shall be retained as follows:~~

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- (a) ~~Investigations resulting in disciplinary action or exoneration shall be retained for three years (cities) or two years (counties) after resolution and in accordance with the department established records retention schedule (OAR 166-200-0350; OAR 166-150-0135).~~
 - (b) ~~Investigations resulting in termination shall be retained for 10 years after the member separation and in accordance with the department established records retention schedule (OAR 166-200-0350; OAR 166-150-0135).~~
 - (c) ~~Unfounded investigation records and all related files not resulting in disciplinary action shall be retained for three years (cities) or one year (counties) and in accordance with the department established records retention schedule (OAR 166-200-0350; OAR 166-150-0135).~~
- Not sustained
 - Unfounded
 - Exonerated

1013.7 MEDICAL FILE

~~A~~ A medical file shall be maintained separately from all other personnel records and shall contain all documents relating to the member's medical condition and history, including but not limited to:

- (a) Materials relating to a medical leave of absence, including leave under the Family and Medical Leave Act (FMLA).
- (b) Documents relating to workers' compensation claims or the receipt of short- or long-term disability benefits.
- (c) Fitness-for-duty examinations, psychological and physical examinations, follow-up inquiries and related documents.
- (d) Medical release forms, doctor's slips and attendance records that reveal a member's medical condition.
- (e) Any other documents or material that reveals the member's medical history or medical condition, including past, present or future anticipated mental, psychological or physical limitations.
- (f) Drug testing records. ~~These records shall be retained as follows (OAR 166-200-0315; OAR 166-150-0160): Positive drug tests records shall be retained for a minimum of five years and in accordance with the department established records retention schedule. Negative drug tests records shall be retained for a minimum of one year and in accordance with the department established records retention schedule.~~

~~Member medical records shall be retained for a minimum of six years after separation from the Department and in accordance with the department established records retention schedule (OAR 166-200-0315; OAR 166-150-0160).~~

Hubbard Police Department

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Personnel Records

Medical records relating to hazard exposure shall be retained for 30 years after separation and in accordance with the ~~department~~ department established records retention schedule (29 CFR 1910.1020(d)).

1013.8 CONFIDENTIALITY AND SECURITY

Personnel records should be maintained in a secured location and locked either in a cabinet or access-controlled room. Personnel records maintained in an electronic format should have adequate password protection.

Personnel records are subject to disclosure as provided in this policy, pursuant to applicable discovery procedures, state law or with the member's written consent.

Nothing in this policy is intended to preclude review of personnel records by the City Council, City Attorney or other attorneys or representatives of the City in connection with official business.

1013.8.1 REQUESTS FOR DISCLOSURE

Any member receiving a request for a personnel record shall promptly notify the Sergeant, the Custodian of Records or other person charged with the maintenance of such records.

Upon receipt of any such request, the responsible person shall notify the affected member as soon as practicable that such a request has been made (ORS 181A.830).

The responsible person shall further ensure that an appropriate response to the request is made in a timely manner, consistent with applicable law. In many cases, this may require assistance of available legal counsel.

All requests for disclosure that result in access to a member's personnel records shall be logged in the corresponding file.

1013.8.2 RELEASE OF PERSONNEL INFORMATION

Personnel records of an officer who was employed at any time by the Department shall be released to a requesting law enforcement agency for the purposes of preemployment review (2020 Oregon Laws, c.7, § 4).

Except as provided by the Records Maintenance and Release Policy or pursuant to lawful process, no information about a personnel investigation of an officer that does not result in discipline contained in any personnel file shall be disclosed to any unauthorized member or other persons unless (ORS 181A.830(4)):

- (a) The officer consents to disclosure in writing.
- (b) The public interest requires disclosure of the information.
- (c) Disclosure is necessary for an investigation by the public body, the Department of Public Safety Standards and Training, or a citizen review body designated by the public body.
- (d) Disclosure is required by 2020 Oregon Laws, c.7, § 4.

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- (e) The public body determines that nondisclosure of the information would adversely affect the confidence of the public in the Department.

~~Audio~~ Audio or video records of internal investigation interviews of an officer are confidential and shall not be released (ORS 192.385).

Photographs of an officer shall not be disclosed without the written consent of the officer (ORS 181A.830).

1013.9 BRADY MATERIAL IN PERSONNEL FILES

The purpose of this section is to establish a procedure for releasing potentially exculpatory information (so-called Brady material) contained within confidential peace officer personnel files.

1013.9.1 DEFINITIONS

Brady material - In the *Brady v. Maryland* decision (373 U.S. 83 (1963)) the United States Supreme Court held that the prosecution has an affirmative duty to disclose to the defendant evidence which is both favorable and material to the guilt and/or punishment of the defendant.

The prosecution - Refers to any prosecuting attorney and all investigative agencies involved in the criminal prosecution of a defendant, including this department.

ORS 135.815 - Oregon law also establishes a criminal defendant's right to access potentially exculpatory evidence.

1013.9.2 RELEASE OF PERSONNEL FILES IN LEGAL PROCEEDINGS

Personnel files are generally exempt from disclosure under ORS 192.501 to 192.505. When that exemption is invoked, the subject records will be examined by the court, in an in camera hearing, and the court will determine whether or not the exemption is valid. Therefore, in civil and/or criminal matters, an employee's confidential personnel records may be disclosed if a court determines that the disclosure exemptions do not apply.

If an employee is a material witness in a criminal case and that employee's personnel file potentially contains exculpatory evidence that may be discoverable under ORS 135.815, the court will examine the materials in camera, and decide whether or not the records must be revealed.

In making its decisions, the court will balance the public's interest in having the records revealed against the interests of the employee, and then decide whether or not the otherwise confidential records must be revealed.

1013.10 MEMBER ACCESS TO THEIR PERSONNEL RECORDS

A member or former member may request to review his/her personnel file. The request should be made to the Administration Supervisor. The Administration Supervisor should ensure that the member is provided a reasonable opportunity to review their personnel file or, if requested, receive a certified copy of the records as provided in ORS 652.750.

If an officer believes that any portion of the material is mistakenly or unlawfully placed in the officer personnel record, the officer may submit a written request to the Chief of Police that the mistaken or

Hubbard Police Department

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Personnel Records

unlawful material be corrected or deleted. The request must describe the corrections or deletions requested and the reasons supporting the request and provide any documentation that supports the request. The Chief of Police must respond within 30 days from the date the request is received. If the Chief of Police chooses not to make any changes, the Chief of Police shall ensure that a written response to the request is made. The Chief of Police shall ensure that the request and response is placed in the officer's personnel record (ORS 652.750).

Members may be restricted from accessing files containing any of the following information:

- (a) An ongoing internal affairs investigation to the extent that it could jeopardize or compromise the investigation pending final disposition or notice to the member of the intent to discipline.
- (b) Confidential portions of internal affairs files that have not been sustained against the member.
- (c) Criminal investigations involving the member.
- (d) Letters of reference concerning employment/appointment, licensing or issuance of permits regarding the member.
- (e) Any portion of a test document, except the cumulative total test score for either a section of the test document or for the entire test document.
- (f) Materials used by the Department for staff management planning, including judgments or recommendations concerning future salary increases and other wage treatments, management bonus plans, promotions and job assignments or other comments or ratings used for department planning purposes.
- (g) Information of a personal nature about a person other than the member if disclosure of the information would constitute a clearly unwarranted invasion of the other person's privacy.
- (h) Records relevant to any other pending claim between the Department and the member that may be discovered in a judicial proceeding.

1013.11 RETENTION AND PURGING

Unless otherwise noted, personnel records shall be retained for a minimum of 10 years after separation and in accordance with the established records retention schedule (2020 Oregon Laws, c.7, § 4).

- (a) During the preparation of each member's performance evaluation, all personnel complaints and disciplinary actions should be reviewed to determine the relevancy, if any, to progressive discipline, training and career development. Each supervisor responsible for completing the member's performance evaluation should determine whether any prior sustained disciplinary file should be retained beyond the required period for reasons other than pending litigation or other ongoing legal proceedings.
- (b) If a supervisor determines that records of prior discipline should be retained beyond the required period, approval for such retention should be obtained through the chain of command from the Chief of Police.

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- (c) If, in the opinion of the Chief of Police, a personnel complaint or disciplinary action maintained beyond the required retention period is no longer relevant, all records of such matter may be destroyed in accordance with the established records retention schedule.

Personal Appearance Standards

1023.1 PURPOSE AND SCOPE

~~In~~ In order to project uniformity and neutrality toward the public and other members of the ~~department~~ Department, employees of this ~~department~~ department shall maintain their personal hygiene and appearance to project a professional image appropriate for this ~~department~~ department and for their assignment.

1023.2 GROOMING STANDARDS

~~Unless~~ Unless otherwise stated and because deviations from these standards could present officer safety issues, the following appearance standards shall apply to all employees, except those whose current assignment would deem them not appropriate, and where the Chief of Police has granted exception.

1023.2.1 HAIR

Hairstyles of all members shall be neat in appearance. For male sworn members, hair must not extend below the top edge of the uniform collar while assuming a normal stance.

For female sworn members, hair must be no longer than the horizontal level of the bottom of the uniform patch when the employee is standing erect, worn up or in a tightly wrapped braid or ponytail.

1023.2.2 MUSTACHES ~~AND BEARDS~~

A short and neatly trimmed mustache ~~or beard~~ may be worn. Mustaches shall not extend below the corners of the mouth or beyond the natural hairline of the upper lip. ~~Beards will be kept short and neatly trimmed to allow for appropriate fit of the Department issued PPE beathing mask.~~

← Didn't change this as beards are allowed

1023.2.3 SIDEBURNS

Sideburns shall not extend below the bottom of the outer ear opening (the top of the earlobes) and shall be trimmed and neat.

1023.2.4 FINGERNAILS

Fingernails extending beyond the tip of the finger can pose a safety hazard to officers or others. For this reason, fingernails shall be trimmed so that no point of the nail extends beyond the tip of the finger.

1023.2.5 JEWELRY ~~AND ACCESSORIES~~

~~No jewelry or personal ornaments shall be worn by officers on any part of the uniform or equipment, except those authorized within this manual. Jewelry, if worn around the neck, For the purpose of this policy, jewelry refers to rings, earrings, necklaces, bracelets, wristwatches, and tie tacks or~~

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Personal Appearance Standards

tie bars. Jewelry shall present a professional image and may not create a safety concern for the department member or others. Jewelry that depicts racial, sexual, discriminatory, gang-related, or obscene language is not allowed.

- (a) Necklaces shall not be visible above the shirt collar.
- (b) Earrings shall
- (c) be

~~-- worn by uniformed sworn members, detectives or special assignment personnel without permission of the Chief of Police or his/her designee. Only one ring~~

- (a) small and worn only in or on the earlobe.
- (b) One ring or ring set may be worn on each hand of the
- (c) department member. No rings should be of the type that would cut or pose an unreasonable safety risk to the member or others during a physical altercation, if the member is assigned to a position where that may occur.
- (d) One small bracelet, including a bracelet identifying a medical condition, may be worn on one arm.
- (e) Wristwatches shall be conservative and present a professional image.
- (f) Tie tacks or tie bars worn with civilian attire shall be conservative and present a professional image.

1023.3 TATTOOS

While on-duty or representing the Hubbard Police Department in any official capacity, members should make every reasonable effort ~~should be made~~ to conceal tattoos or other body art. At no time while the member is on-duty or representing the Department in any official capacity ; shall any offensive tattoo or body art be visible ~~(examples~~ . Examples of offensive tattoos would include ; but are not be limited to those which depict racial, sexual, discriminatory, gang related, or obscene language) that exhibit or advocate discrimination; those that exhibit gang, supremacist, or extremist group affiliation; and those that depict or promote drug use, sexually explicit acts, or other obscene material.

1023.4 BODY PIERCING OR ALTERATION

~~Body~~ Body piercing or alteration to any area of the body visible in any authorized uniform or attire that is a deviation from normal anatomical features and which is not medically required is prohibited except with prior authorization of the Chief of Police. Such body alteration includes, but is not limited to:

- (a) Tongue splitting or piercing.

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- (b) The complete or transdermal implantation of any material other than hair replacement.
- (c) Abnormal shaping of the ears, eyes, nose or teeth.
- (d) Branding or scarification.

Vickie Nogle

From: Ashley Driscoll <ashleyd@gov-law.com>
Sent: Wednesday, September 16, 2020 9:58 AM
To: Vickie Nogle; Judy Smith
Subject: Follow up - Property Tax Exemption

Vickie and Judy,

I wanted to follow up on a question I got from the Council last night regarding the potential low income tax exemption. After reviewing the statute, I noticed a relatively odd provision (pasted below) that provides that if governing bodies that make up more than 50% of the total combined taxation for a property all decide to adopt this exemption, one of those governing bodies can petition for all of the property taxes for that property to be exempt.

So, in plain English, generally speaking if the City of Hubbard adopt this provision and the other taxing bodies do not, the City is not liable for those other taxes, but the property owner still has to pay them. However, if the governing bodies that make up the majority of the taxes all decide to implement this tax exemption, and then if one of the governing bodies requests it, all the taxes will be exempt. As a result, even if Hubbard does not adopt this provision, if all the other taxing districts do and then request Hubbard does as well, the City could be forced to give this exemption.

Next time this comes up, I'm more than happy to address this issue in more depth with the Council. I will follow up with Carol as well, since she mentioned it.

Thanks,
Ashley

307.543 Exemption limited to levy of governing body adopting ORS 307.540 to 307.548; exception; additional provisions. (1) Except as provided in subsection (2) of this section, the exemption granted under ORS 307.540 to 307.548 applies only to the tax levy of a governing body that adopts the provisions of ORS 307.540 to 307.548. At the time of adoption, the governing body shall elect a definition of "low income" under ORS 307.540.

(2) The exemption granted under ORS 307.540 to 307.548 applies to the tax levy of all taxing districts in which property certified for exemption is located if, upon request of a governing body that has adopted the provisions of ORS 307.540 to 307.548, the rates of taxation of such taxing districts whose governing boards agree to the policy of exemption under ORS 307.540 to 307.548, when combined with the rate of taxation of the governing body that adopts the provisions of ORS 307.540 to 307.548, equal 51 percent or more of the total combined rate of taxation on the property granted exemption.

(3) A governing body may adopt additional provisions relating to the exemption granted under ORS 307.540 to 307.548 that do not conflict with the provisions of ORS 307.540 to 307.548. [1985 c.660 §3; 2015 c.141 §2; 2015 c.310 §8]

Ashley O. Driscoll
Attorney
BEERY ELSNER & HAMMOND, LLP
1750 S. Harbor Way, Suite 380
Portland, OR 97201

t (503) 226 7191 | d (503) 802 0007

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Vickie Nogle

Subject: FW: Form submission from: Contact Us

-----Original Message-----

From: Chad Jacobs [mailto:chad@gov-law.com]

Sent: Thursday, August 27, 2020 9:41 AM

To: Vickie Nogle; Ashley Driscoll

Subject: RE: Form submission from: Contact Us

Hi,

This is not mandatory - it is a policy choice by the City as to whether it wants to enact a property tax exemption under ORS 307.540-548. I think the first step would be to take the request to council for consideration. If they want to provide an exemption, then we would come back to them with an ordinance implementing the program.

If the Council wants to adopt such a program, they will also need to decide which definition of low income in ORS 397.540(2) they want to use for the program. Those choices are:

(a) Income at or below 60 percent of the area median income as determined by the Oregon Housing Stability Council based on information from the United States Department of Housing and Urban Development; or

(b)(A) For the initial year that persons occupy property for which an application for exemption is filed under ORS 307.545, income at or below 60 percent of the area median income as determined by the Oregon Housing Stability Council based on information from the United States Department of Housing and Urban Development; and (B) For every subsequent consecutive year that the persons occupy the property, income at or below 80 percent of the area median income as determined by the Oregon Housing Stability Council based on information from the United States Department of Housing and Urban Development.

The Council may, if it desires, also impose additional requirements for participation in the program as long as such requirements do not conflict with ORS 307.540-548.

Below is the language Hillsboro recently adopted, which is another example similar to Salem's.

Let us know how we can assist further with this matter.

Best,

Chad

Subchapter 3.40 NONPROFIT CORPORATION LOW-INCOME HOUSING TAX EXEMPTIONS

3.40.010 Definitions

The following definitions apply in this subchapter.

LOW-INCOME means:

A. For the initial year a person occupies property for which an application for exemption is filed under this subchapter, income at or below 60 percent of the area median income as determined by the Oregon Housing Stability Council based on information from the United States Department of Housing and Urban Development; and

B. For every subsequent consecutive year that the person occupies the property, income at or below 80 percent of the area median income as determined by the Oregon Housing Stability Council based on information from the United States Department of Housing and Urban Development. (Ord. 6291 § 1, 2019)

3.40.020 Nonprofit corporation low-income housing exemption—Criteria

A. Property that meets all of the following criteria shall be exempt from taxation as provided in this section:

1. The property is owned or being purchased by a corporation described in Section 501(c)(3) or (4) of the Internal Revenue Code that is exempt from income taxation under Section 501(a) of the Internal Revenue Code;

2. Upon liquidation, the assets of the corporation are required to be applied first in payment of all outstanding obligations, and the balance remaining, in cash and in kind, to be distributed to corporations exempt from taxation and operated exclusively for religious, charitable, scientific, literary or educational purposes or to the State of Oregon;

3. The property is:

a. Occupied by low-income persons; or

b. Held for the purpose of future development as low-income housing, for a period not exceeding three years;

4. The property or portion of the property receiving the exemption, if occupied, is actually and exclusively used for the purposes described in Section 501(c)(3) or (4) of the Internal Revenue Code; and

5. The exemption has been approved as required in Section 3.40.040.

B. For purposes of subsection A of this section, a corporation that only has a leasehold interest in property is deemed to be a purchaser of that property if:

1. The corporation is obligated under the terms of the lease to pay the ad valorem taxes on the real and personal property used in this activity on that property; or

2. The rent payable by the corporation has been established to reflect the savings resulting from the exemption from taxation.

C. A partnership shall be treated the same as a corporation to which this section applies if the corporation is:

1. A general partner of the partnership; and

2. Responsible for the day to day operation of the property that is the subject of the exemption. (Ord. 6291 § 1, 2019)

3.40.030 Application for exemption

A. To qualify for the exemption provided by Section 3.40.020, the corporation shall file an application for exemption with the city for each assessment year the corporation wants the exemption. The application shall be filed on or before March 1 of the assessment year for which the exemption is applied for, except that when the property designated is acquired after March 1 but before July 1, the claim for that year shall be filed within 30 days after the date of acquisition. The application shall include the following information as applicable:

1. A description of the property for which the exemption is requested;
 2. A description of the charitable purpose of the project and whether all or a portion of the property is being used for that purpose;
 3. A certification of income levels of low-income occupants;
 4. A description of how the tax exemption will benefit project residents;
 5. A description of the development of the property if the property is being held for future low-income housing development; and
 6. A declaration that the corporation has been granted exemption from income taxation under Section 501(a) of the Internal Revenue Code as an organization described in Section 501(c)(3) or 501(c)(4) of the Internal Revenue Code.
- B. The applicant shall verify the information in the application by oath or affirmation. (Ord. 6291 § 1, 2019)

3.40.040 Determination of eligibility for exemption—Notice to county assessor

A. Within 30 days of the filing of an application under Section 3.40.030, the council shall determine whether the applicant qualifies for the exemption under Section 3.40.020. If the council determines the applicant qualifies, the city shall certify to the county assessor, as set forth in ORS 307.547, that all or a portion of the property shall be exempt from taxation under the city's tax levy.

B. Upon receipt of certification under subsection A of this section, the county assessor shall exempt the property from taxation to the extent certified by the city. (Ord. 6291 § 1, 2019)

3.40.050 Termination of exemption

A. If the city determines that property that has received an exemption under this Subchapter 3.40 in anticipation of future development of low-income housing that the property is being used for any purposes other than the provision of low-income housing, or that any provision of this subchapter is not being complied with, the city shall give notice of the proposed termination of the exemption to the owner(s) by mailing the notice to the last known address of the owner(s), and to every known lender, by mailing the notice to the last known address of every known lender. The notice shall state the reasons for the proposed termination and require the owner(s) to appear at a specified time, not less than 20 days after mailing the notice, to show cause, if any, why the exemption should not be terminated.

B. If the owner(s) fail to appear and show cause why the exemption should not be terminated, the city shall notify every known lender, and shall allow any lender not less than 30 days after the date the notice of failure to appear and show cause is mailed to cure any noncompliance or to provide adequate assurance to the city that all noncompliance shall be remedied.

C. If the owner(s) fail to appear and show cause why the exemption should not be terminated, and the lender fails to cure or give adequate assurance of the cure of noncompliance, the council shall adopt a resolution stating its findings that terminate the exemption. A copy of the resolution shall be filed within 10 days after its adoption with the county assessor, and a copy shall be sent to the owner(s) at the owner(s)' last known address and to the lender at the last known address of the lender within 10 days of its adoption.

D. Upon the county assessor's receipt of the city's termination findings:

1. The exemption granted to the housing unit or portion under this subchapter shall terminate immediately, without right of notice or appeal;
2. The property shall be assessed and taxed as other property similarly situated is assessed and taxed;

3. Notwithstanding ORS 311.235, there shall be added to the general property tax roll for the tax year next following the presentation or discovery, to be collected and distributed in the same manner as other real property tax, an amount equal to the difference between the taxes assessed against the property and the taxes that would have been assessed against the property had it not been exempt under this subchapter for each of the years, not to exceed the last 10 years, during which the property was exempt from taxation under this subchapter.

E. The assessment and tax rolls shall show potential additional tax liability for each property granted an exemption under this subchapter because the property is being held for future development of low-income housing.

F. Additional taxes collected under this section shall be deemed to have been imposed in the year to which the additional taxes relate. (Ord. 6291 § 1, 2019)

3.40.060 Delegation of administrative authority

The manager, or the manager's designee, is granted all authority necessary to make all determinations and otherwise administer the provisions of this subchapter, excepting determinations and actions required to be made or taken by the council. (Ord. 6291 § 1, 2019)

-----Original Message-----

From: Hubbard Oregon via Hubbard Oregon [mailto:hubbard-or@municodeweb.com]
Sent: Wednesday, August 26, 2020 1:45 PM
To: Vickie Nogle
Subject: Form submission from: Contact Us

Submitted on Wednesday, August 26, 2020 - 1:44pm Submitted by anonymous user: 209.67.78.22 Submitted values are:

First Name: [REDACTED]

Last Name: [REDACTED]

Email: [REDACTED]

Question/Comment:

Our client, a California 501(c)(3) corporation, is acquiring two manufactured home ("MH") parks within the Hubbard city limits. The client's charitable mission is to maintain these MH parks as low-income housing. [REDACTED]

[REDACTED] We are working with Bradli Daun in the Marion County Assessors Office who said we will need to contact the City of Hubbard for information on how to apply for a property tax exemption in Hubbard under ORS 307.540-548. Marion County is currently developing its application for the exemption. Would someone from the City of Hubbard please contact me to discuss getting the application process started? My email is included here and my cell phone number is (503) 348-7167. Thank you, Carole Brock

The results of this submission may be viewed at:

<https://www.cityofhubbard.org/node/7/submission/2411>



3 Park Plaza, Ste 1700 949-727-0568
Irvine, CA 92614 caritascorp.org

September 2, 2020

Charles Rostocil, Mayor
James Audritsh, Council President
Michelle Dodge, Council Member
Robert Prinslow, Council Member
Tyler Thomas, Council Member
Vickie Nogle, Director of Administration/City Recorder
Hubbard City Hall
3720 Second Street
PO Box 380
Hubbard, OR 97032

RECEIVED
SEP 03 2020 3:40pm
CITY OF HUBBARD

Honorable Mayor and Esteemed Members of the Hubbard City Council:

It is my pleasure to introduce all of you to Caritas, a non-profit organization whose goal is to provide and maintain quality, affordable housing. With the increasing number of households on fixed or limited incomes and with the scarcity of reliable, long-term, reasonably priced housing, Caritas endeavors to create vibrant communities where quality of life, resident involvement, and caring are priorities.

On August 17, 2020 Caritas entered into a Purchase and Sale Agreement for seven mobile home communities in the Portland area, owned by Oregon local Martin Fleck who is the owner of AH Northwest Inc., a holding company of significant real estate assets in the Portland area. Martin has owned many of these assets for several years and decided to accept Caritas' offer due to our proven track record in preserving affordable housing across mobile home communities throughout California. These acquisitions are Caritas' first ventures outside of California.

The Hubbard Mobile Estates located at 3125 Rudometkin Drive and Sherwood Mobile Manor located at 3256 Elm Street are both located in Hubbard. In discussing the transaction Martin was inspired by Caritas' Mission and resident empowered programs, believing that his residents would be in the "best hands" with Caritas, despite interest from several other financially-backed parties.

Caritas has a long history of working with cities to respond to the critical needs of its residents. All our properties are well maintained, the pride of ownership is very apparent, families and seniors are supported with special programs to respond to their needs and at-risk youth concerns are addressed. The neighborhood and the entire community benefit.

Caritas was founded in 1996 on the hope of helping to address the lack of affordable housing and we strive daily to do what we can to accommodate more and more people. Over the years we continue to refine our operating programs to better meet the needs of our residents as well as assisting the future residents by preserving the affordability of our units while improving the quality of life for our residents.

Our Caritas operating goals strive to:

- Increase affordable housing stock.
- Self-impose rent control and limit rent increases.
- Promote resident participation in management and operating decisions.
- Facilitate neighborhood beautification.
- Create neighborhood pride.

An important component to successfully owning and operating affordable housing communities in perpetuity is in establishing a close-knit environment where people not only feel safe, but their needs are met on a regular basis. Caritas enjoys distinction of being known for its dedication to the never-ending commitment of enhancing the quality of life for the residents. We strive to be a “resident” focused organization rather than “property” focused.

In order to focus on this critical component, The Caritas Mission department was created, formerly operating as The Caritas Foundation. The Caritas Mission Department solely focuses on bringing vital services and programs to the low income, underserved members of our communities. A primary example is our Caritas Reads! Program, which continues to grow year after year. This was a Summer reading program where children in grades 1 – 12 are provided and allowed to keep age appropriate books of their choosing and has as of 2020 been continued into a year-round program to continue supporting our school aged residents while they adjust to distance learning.

To support our zest for learning we created the Caritas Scholarship Program which helps fund continuing education opportunities for our high school seniors and returning college students. We strongly believe in the value of continuing education and training and we are proud to be investing in our residents’ future.

Caritas economically supports and strongly encourages resident-generated activities, such as exercise classes, movie nights, dance classes, game nights, community potlucks and barbeques. Some family communities offer after school learning center and youth recreation programs, and some senior communities offer resident led food banks and other charitable outreach programs.

Caritas also provides financial assistance to some of our residents. Unfortunately, due to unforeseen circumstances, residents may occasionally find themselves in need of some short-term financial help. For qualifying residents, Caritas provides short-

term grants in the form of rental and maintenance assistance. In addition, we will partner with other organizations outside of our communities to bring in donations for clothing, food, back-to-school supplies and holiday meal supplies and gifts.

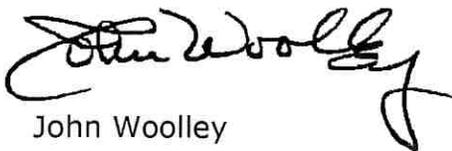
Caritas also communicates monthly with our residents via a community newsletter. The newsletter may include an event calendar, items of interest in the surrounding cities and towns, resident submitted articles, brain teaser puzzles and quizzes, favorite resident recipes, birthday announcements, and many other items of local interest.

For your consideration, you will find enclosed our 2019 Impact Overview. This is an annual report that our Mission Department began last year to highlight the previous years' ongoing Mission accomplishments.

At Caritas our Mission continues to be a work in progress as we maintain affordability while engaging residents to build vibrant and caring mobile home communities. Although there are some nuances from County to County, owners of low-income housing in California are allowed a property tax exemption on the primary tax assessment in direct relationship to the percentage of low housing units to the total units of the property. I am just now discovering that Oregon is considering an exemption of this sort that will be heard at next week's City Council Meeting. These exemptions certainly look to assist in keeping the rents affordable.

On behalf of Caritas, I assure you that we are looking forward to our expansion into Oregon and I look forward to meeting all of you in the weeks and months to come.

Respectfully,

A handwritten signature in black ink, appearing to read "John Woolley". The signature is fluid and cursive, with a long, sweeping tail that extends downwards and to the right.

John Woolley
Chief Investment Officer
Caritas

Enclosures: *Caritas 2019 Impact Overview*



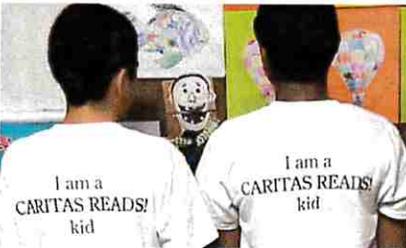
2019 Impact Overview

Caritas's mission is to unite people with a purpose to preserve affordable communities that *uplift and empower our residents*. To accomplish this, Caritas supports several programs throughout its 24 communities and to its over 10,000 residents. These programs provide educational opportunities, financial assistance, and promote community. Here are some 2019 highlights:



Summer Swim School

Every summer, Caritas offers swim lessons to select communities, and in 2019, across 8 communities, 180 residents learned to be more comfortable and confident in the water and learned a lifelong skill.



Caritas Reads! Summer Reading Program

Caritas Reads! encourages our elementary to high school-aged residents to read during the summer break and lessen the chances of a "summer slide". Each reader can choose their own book and upon finishing it and submitting a book report, they can select more books until the end of summer. In 2019, Caritas distributed over 1,590 books to 235 readers.



Scholarship Program

Every year, Caritas grants qualifying residents up to \$1000 to further their education and get them one step closer to achieving their academic dreams. This year, Caritas awarded 23 residents with \$17,450 in total scholarships. And since beginning in 2012, 57 residents have been awarded \$68,475 in scholarships.



Rental Assistance

At Caritas, we understand that residents can experience emergencies that put them in unexpected financial situations. This program provides eligible residents with temporary financial aid to help them through this difficult time. In 2019, 24 residents received assistance.



Maintenance Assistance

Our Maintenance Assistance Program gives a one-time financial assistance to eligible residents to help them improve the health and safety of their home and in turn the overall community. This year, 5 residents received maintenance assistance and projects included repairing porches, removing overgrown trees, and fixing roof leaks.

We look forward to providing these and more programs in 2020!

For more information, visit www.caritascorp.org or call us at 949-727-0568.

MEMORANDUM

TO: Mayor and the Hubbard City Council
FROM: Ashley Driscoll, Office of the City Attorney
SUBJECT: Updating COVID-19 Policy
DATE: October 13, 2020

On March 17, 2020, the City adopted the *Temporary City Policy: In Response to COVID-19*. This policy was designed to be temporary; the policy notes that the City may update it periodically, or rescind it as necessary. On April 1, 2020, the Federal Families First Coronavirus Response Act (FFCRA) took effect. Among other benefits, FFCRA provides for up to 80 hours of paid leave for individuals not able to work due to COVID-19 and its complications. FFCRA also provides for a limited expansion of the federal Family Medical Leave Act to assist families addressing COVID-19 school closures. Since April, the City has been complying with both the federal law and the local policy. As of now, FFCRA will expire at the end of December 2020.

The City Attorney's Office is recommending the City align its temporary policy with FFCRA to make it easier for employees to understand and implement COVID-19 related leaves. As such, the City is providing a revised COVID-19 Emergency Leave Policy. This policy outlines the following general benefits provided under FFCRA:

- Up to 80 hours of paid COVID-19 related leave, which is either paid at the employee's full regular rate (with some limits) or at the 2/3 rate, depending on why the employee is using leave; and
- Up to 12 weeks of "school closure leave," which is paid at 2/3 the employees regular rate, with some limits.

Under FFCRA, the City has the option of deciding if "emergency responders" such as police officers are able to use the above described leaves. As written, the policy does not exclude police. However, if the Council wishes to exclude emergency responders, the Council can direct staff to make this amendment.

Under FFCRA, the City also has the option to not allow employees to take intermittent leave. As written, the policy does allow for intermittent leave, but only with City approval and can be rescinded at any time. However, if the Council prefers to not allow intermittent leave in any situation, the Council can direct staff to make this amendment.

By adopting this revised policy, the City would rescind the March 2020 *Temporary City Policy: In Response to COVID-19*. An appropriate motion would be as follows:

“I move to adopt the revised October 2020 *Novel Coronavirus/COVID-19 Emergency Leave Policy* and rescind the March 2020 *Temporary City Policy: In Response to COVID-19*, effective immediately.”

RESOLUTION NO. 703-2020

A RESOLUTION ADOPTING A NOVEL CORONAVIRUS/COVID-19 EMERGENCY LEAVE TEMPORARY POLICY AND REPEALING THE PRIOR TEMPORARY CITY POLICY: RESPONSE TO COVID-19 SIGNED MARCH 17, 2020.

Findings:

- A. The City Council of the City of Hubbard finds it in the best interest of the City to issue the following updated temporary Novel Coronavirus/COVID-19 Emergency Leave temporary leave policy.

Based on the findings, the City of Hubbard resolves as follows:

- 1. The City of Hubbard hereby adopts the temporary Novel Coronavirus/COVID-19 Emergency Leave Policy as set forth in the attached document marked "Exhibit A" attached hereto and by this reference incorporated herein.
- 2. Prior Temporary City Policy: Response to COVID-19 Signed March 17, 2020, is hereby repealed.

ADOPTED BY THE CITY COUNCIL this 10th day of October 2020.

BY: _____
Charles Rostocil, Mayor

ATTEST:

BY: _____
Vickie Nogle, MMC
Director of Administration/City Recorder

APPROVED AS TO FORM:

BY: _____
Beery, Elsner & Hammond, City Attorney

Novel Coronavirus/COVID-19 Emergency Leave Policy

To clarify the City's process, the City of Hubbard issues the following updated temporary policy and repeals the prior temporary policy signed March 17, 2020. This policy goes into effect October 13, 2020, and ends on December 31, 2020, unless specified below or unless City of Hubbard announces a continuation of this policy in writing.

This policy does not replace the City of Hubbard's existing policies on family leave or sick leave, and should be read in conjunction with those policies. See Sick Leave Policy under Chapter 11.00. See also the "Employee Rights" notice, which is posted in the Administration Office on the wall by the copier machine. Questions about this policy should be directed to the Director of Administration / City Recorder.

Paid Sick Leave for COVID-19 Issues

If an employee is unable to work or telework due a qualifying reason related to the COVID-19 pandemic, they will be eligible to take paid leave as described below. This leave will be referred to as "COVID-19 Sick Leave" in this policy. All employees are eligible for this type of leave. This leave is in addition to paid leave employees accrue under the City of Hubbard's Sick Leave Policy under Chapter 11.00; employees' accrued sick leave banks will not be withdrawn from for leave taken under this policy.

Qualifying Reasons for COVID-19 Paid Sick Leave

- (1) *Quarantine* — to comply with a federal, Oregon or local quarantine or isolation order related to COVID-19. This includes shelter-in-place or stay-at-home orders issued by any Federal, Oregon or local government authority that causes employees to be unable to work, even though the employer has work for the employee to do.
- (2) *Self-Quarantine* — to self-quarantine, if the employee has been advised to do so by a health care provider, due to concerns related to COVID-19.
- (3) *Diagnosis or Treatment* — to obtain a medical diagnosis or treatment if the employee is experiencing symptoms of COVID-19. This leave is limited to time the employee is unable to work because the employee is taking steps to obtain a medical diagnosis, such as making, waiting for or attending an appointment for a test for COVID-19.
- (4) *Care for a Quarantined Individual* — to care for an individual subject to a federal, Oregon or local quarantine or isolation order related to COVID-19, or who has been advised by a health care provider to self-quarantine due to concerns related to COVID-19. "Individual" means an employee's immediate family member, a person who regularly resides in the Employee's home, or a similar person with whom the Employee has a relationship that creates an expectation that the employee would care for the person if he or she were quarantined or self-quarantined.
- (5) *Child Care* — to care for an employee's son or daughter if the son or daughter's school, child care provider or place of care has been closed or is unavailable due to COVID-19-related issues. This leave is not available if another suitable

person will be caring for the son or daughter during the period for which the employee takes COVID-19 Sick Leave.

- (6) *Substantially Similar Care* — to care for a substantially similar condition, as determined by the U.S. Secretary of Health and Human Services at any point between October 13, 2020, and December 31, 2020 (or as extended).

Definitions

- “Child Care Provider” – A provider who receives compensation for providing child care services on a regular basis. The term includes a center-based child care provider, a group home child care provider, a family child care provider, or other provider of child care services for compensation that is licensed, regulated, or registered under Oregon law. A “child care provider” need not be compensated or licensed if he/she is a family member or friend, such as a neighbor, who regularly cares for the Employee’s son or daughter.
- “Place of care” - A physical location in which care is provided for the Employee’s child while the employee works for Hubbard. Examples include day care facilities, preschools, before and after school care programs, schools, homes, summer camps, summer enrichment programs, and respite care programs.
- “School” means elementary or secondary school. Community colleges, universities, colleges, or other post-secondary schools are not included.
- “Son or daughter” – A biological, adopted, or foster child, a stepchild, a legal ward, or a child of a person standing *in loco parentis* who is either under 18 years of age or is 18 years of age or older and “incapable of self-care because of a mental or physical disability” at the time COVID-19 Paid Sick Leave is to commence.

Accrual of and Requesting COVID-19 Paid Sick Leave

Full-time employees will receive 80 hours of COVID-19 Paid Sick Leave. The number of hours of COVID-19 Paid Sick Leave available to part-time employees depends on the number of hours the employee is scheduled to work during a two-week period, and may be calculated using the average number of hours worked in the six months leading up to the leave’s start. As an example, if a part-time employee works, on average, 20 hours per week, the employee would be entitled to 40 hours of COVID-19 Paid Sick Leave.

Requests to take COVID-19 Paid Sick Leave on an intermittent basis will be assessed on a case-by-case basis. The City of Hubbard may require the Employee to attempt telework on a trial basis before granting a request for intermittent leave. Any agreement regarding intermittent leave will be revoked if, in the City of Hubbard’s determination, the arrangement is not meeting the City of Hubbard’s needs.

Any unused COVID-19 Paid Sick Leave will not carry over into 2021. Employees will not be paid the value of any unused COVID-19 Paid Sick Leave if they quit, retire or are fired.

Further, employees will be expected to provide verification of the need for COVID-19 Paid Sick Leave. All employees must provide the date(s) for which the leave is requested, the qualifying reason for the leave, and a statement that the employee is unable to work or telework because of the qualifying reason. Additional information will be required for the various qualifying reasons, as follows:

- (1) *Quarantine* — Provide the name of the government entity that issued the Quarantine or Isolation Order.
- (2) *Self-Quarantine* — Provide the name of the health care provider who advised the Employee to self-quarantine due to concerns related to COVID-19.
- (3) *Diagnosis or Treatment* — Provide the name of the health care provider from whom the employee sought diagnosis or treatment for COVID-19-related symptoms.
- (4) *Care for a Quarantined Individual* — The employee must provide the name of the government entity that issued the Quarantine or Isolation Order to which the individual being cared is subject or the name of the health care provider who advised the individual being care for to self-quarantine due to concerns related to COVID-19.
- (5) *Child Care* — Provide the name of the son or daughter being cared for, the name of the school, place of care, or child care provider that has closed or become unavailable, and a representation that no other suitable person will be caring for the son or daughter during the period for which the employee takes COVID-19 Sick Leave.
- (6) *Substantially Similar Care* — Written verification of the employee's need to stay home from work from the employee's health care provider due to care for a "substantially similar" condition identified and announced by the U.S. Secretary for Health and Human Services between April 1, 2020, and December 31, 2020.

Caps on Value of COVID-19 Paid Sick Leave

For leave due to reasons (1), (2) or (3), above, an employee will earn the employee's regular rate of pay, capped at \$511 per day, for a maximum of \$5,110 (over a two-week period).

For leave due to reasons (4), (5) or (6), above, an employee will earn 2/3 of the employee's regular rate of pay, capped at \$200 per day, for a maximum of \$2,000 (over a two-week period). Note, however, that additional paid leave may be available to employees who take School Closure Leave, discussed below.

Employees who receive COVID-19 Paid Sick Leave may supplement this pay with accrued sick leave or vacation time to meet their full salary expectations, but they will not be paid from both COVID-19 Paid Sick Leave and vacation/sick leave for the same hours.

Family Medical Leave Act for School Closures

Employees may be eligible to receive time off under FMLA when the employee is unable to work (or telework) due to a need to care for a son/daughter/child if the school or place of care has been closed, or the child care provider of such son or daughter is unavailable, due to a public health emergency or COVID-19 related reasons.

The leave of absence available under this policy will be referred to as "School Closure Leave", regardless of the terminology used in FMLA.

Definitions

"Child Care Provider" – A provider who receives compensation for providing child care services on a regular basis. The term includes a center-based child care provider, a group home child care provider, a family child care provider, or other provider of child care services for compensation that is licensed, regulated, or registered under Oregon law. For purposes of the FFCRA, a "child care provider" need not be compensated or licensed if he/she is a family member or friend, such as a neighbor, who regularly cares for the Employee's son or daughter.

"Place of care" - A physical location in which care is provided for the Employee's child while the employee works for [ORGANIZATION]. Examples include day care facilities, preschools, before and after school care programs, schools, homes, summer camps, summer enrichment programs, and respite care programs.

"School" means elementary or secondary school. Community college, university, college, or other post-secondary schools are not included.

"Son or daughter" or "Child" –

- For purposes of FMLA leave, a "son or daughter" is a biological, adopted, or foster child, a stepchild, a legal ward, or a child of a person standing *in loco parentis* who is either under 18 years of age or is 18 years of age or older and "incapable of self-care because of a mental or physical disability" at the time FMLA leave is to commence.

Eligibility Requirements

FMLA: Employees who have worked for the City of Hubbard in the 30 calendar days leading up to the start of the School Closure Leave.

Length of Leave

FMLA: Up to 12 weeks of leave, to be taken any time before December 31, 2020. If a FMLA leave under this policy is started on December 1, 2020 (for example), the employee will not be allowed to continue the leave past December 31, even if the employee still has available FMLA leave.

Employees who have already exhausted 12 weeks of FMLA leave in the City of Hubbard's may not be eligible to take an additional 12 weeks of School Closure Leave, depending on the employee's eligibility under FMLA.

Intermittent Leave

Requests to take School Closure Leave on an intermittent basis will be assessed on a case-by-case basis. The City of Hubbard may require Employee to attempt telework on a trial basis before granting a request for intermittent leave. Any agreement regarding intermittent leave will be revoked if, in the City of Hubbard's determination, the arrangement is not meeting the City of Hubbard's needs (the employee will be allowed to take any remaining time in a continuous block).

Notice and Verification

FMLA: Where the necessity for School Closure Leave is foreseeable, an employee shall provide the employer with as much notice as practicable.

Under School Closure Leave, an employee must provide an oral or written statement that the employee is unable to work (or telework) due to a need to care for a son/daughter/child if the school or place of care has been closed, or the child care provider of such son or daughter is unavailable, due to a public health emergency or COVID-19 related reasons. Further, the employee must provide the name of the son or daughter being cared for, the name of the school, place of care, or child care provider that has closed or become unavailable, and a representation that no other suitable person will be caring for the son or daughter during the period for which the employee takes COVID-19 Sick Leave.

Employees wishing to take School Closure Leave under FMLA should use the  form available attached to this policy.

Benefits During Leave

FMLA: The first two weeks of leave are unpaid; employees may, however, use COVID-19 Paid Sick Leave or any other accrued paid leave during this period.

After the first two weeks of School Closure Leave, and for each day thereafter, the City of Hubbard will provide paid leave calculated at two-thirds of an employee's regular rate of pay and the number of hours the employee would otherwise be normally be scheduled to work. Paid leave will not exceed \$200 per day, or \$10,000 in the aggregate (covering a 10-week period).

Employees who receive School Closure Leave may supplement their pay with accrued COVID-19 Paid Sick Leave, or sick leave or vacation time under the City of Hubbard's policy, to meet their full salary expectations, but they will not be paid from both School Closure Leave and COVID-19/vacation/sick leave for the same hours.

If an employee is on approved School Closure Leave under the law, the City of Hubbard will continue the employee's health coverage under any "group health plan"

on the same terms as if the employee had continued to work. Employees will not accrue vacation, sick leave or other benefits (other than health insurance) while the employee is on a School Closure Leave. The leave period, however, will be treated as continuous service (i.e., no break in service) for purposes of vesting and eligibility to participate in the City of Hubbard's benefit plans.

Job Protection

FMLA: Employees returning to work from School Closure Leave will be reinstated to their former position. If the position has been eliminated, the employee may be reassigned to an available equivalent position. Reinstatement is not guaranteed if the position has been eliminated under circumstances where the law does not require reinstatement.

Employees are expected to promptly return to work when the circumstances requiring School Closure Leave have been resolved, even if leave was originally approved for a longer period. If an employee does not return to work at the end of a designated School Closure Leave period, reinstatement may not be available unless the law requires otherwise.

No-Retaliation

The City of Hubbard will issue discipline, up to and including termination, to anyone who retaliates against an employee who asks about, requests or uses School Closure Leave or COVID-19 Paid Sick Leave.

**FAMILY FIRST CORONAVIRUS RESPONSE ACT (FFCRA)
& OREGON FAMILY LEAVE ACT (OFLA)
LEAVE REQUEST FORM**

Employee Name: _____

Leave Start Date: _____ Leave End Date: _____

Reason for requested leave: Note: Different eligibility requirements may apply depending on the type of leave requested. [ORGANIZATION] will select the leave(s) that is/are most beneficial to the employee if the employee is eligible under various laws.

Reason for requested leave:

_____ **(1) Quarantine:** To comply with a Federal, Oregon or local quarantine or isolation order related to COVID-19. *This includes shelter-in-place or stay-at-home orders issued by any Federal, Oregon or local government authority that causes employees to be unable to work, even though the employer has work for the employee to do.*

Name of Government Entity that issued the quarantine or isolation order:

_____ **(2) Self-Quarantine:** I have been advised by my healthcare provider to self-quarantine due to concerns related to COVID-19.

Name of Health Care Provider: _____

_____ **(3) Diagnosis or Treatment:** I am experiencing symptoms of COVID-19 and am seeking medical diagnosis or treatment. *This leave is limited to time the employee is unable to work because the employee is taking steps to obtain a medical diagnosis, such as making, waiting for or attending an appointment for a test for COVID-19.*

Name of Health Care Provider: _____

_____ **(4) Care for a Quarantined Individual:** I am caring for an individual required to be quarantined or advised to be quarantined due to concerns related to COVID-19.

Name of Individual: _____

Name of Health Care Provider advising quarantine:

Name of Government Entity that issued the quarantine or isolation order:

____ (5) **Child Care (EPSLA/EFMLEA/OFLA):** My child/son/daughter's school or child care provider/ place of care has been closed or is unavailable due to COVID-19 related issues.

Name of Elementary or Secondary School:

Name of Child Care Provider:

Name of Child(ren) and Employee's Relationship to Child(ren):

____ (6) **Substantially Similar Care:** I am caring for a substantially similar condition, as determined by the U.S. Secretary of Health and Human Services.

Name of Health Care Provider: _____

Child Care/School Closure Leave and Supplemental Pay

The EPSLA and the EFMLEA both provide eligible employees with Child Care/School Closure Leave. If you have requested this leave, indicate below how you want your leave to be applied:

____ I want to use the paid leave granted by the EPSLA first and automatically follow with **the remaining paid leave provided under the EFMLEA.** *(This option will not require an employee to wait two weeks before receiving pay under the EMFLEA. The leave used under the EPSLA will satisfy the two-week waiting period).*

Comment [PB1]: Note: An employee may not get the full 12 weeks allowed by law if part of FMLA/OFLA leave has already been used.

____ I want to use accrued paid leave to satisfy the EFMLEA two-week waiting period. *(This option will not require an employee to wait two weeks before receiving pay under the EMFLEA. Paid leave under the EPSLA will not be used with this option).*

Employees will only receive partial pay during EFMLEA leave. (See the [LEAVE POLICY or CHART] to determine how much pay you may receive.)

Do you plan on supplementing your pay with accrued leave? **Yes** _____ **No** _____

To supplement your pay, you will need to indicate the amount of leave to use each pay period on your timecard. You may contact the Finance Director for additional information. [

Comment [PB2]: Insert your organization's process for reporting accrued leave on timesheet.

Intermittent Leave

Comment [PB3]: Employers are not required to offer leave on an intermittent basis. Remove this section if intermittent leave will not be offered.

Are you requesting leave on an intermittent schedule for reduced hours per day?

Yes _____ No _____

If yes, please explain:

Are you requesting leave on an intermittent schedule for a fewer days per week?

Yes _____ No _____

If yes, please explain:

Acknowledgement

I understand that I may be required to provide complete and sufficient certification to support my request; and I understand that my leave may be delayed until I return the appropriate certification form.

I acknowledge that I have been given the opportunity to ask question about [POLICY NAME]; if questions were asked, I received answers, and I acknowledge that I understand [POLICY NAME].

Employee Signature: _____

Date: _____

FFCRA EMERGENCY LEAVE CHART

Type of Leave	FMLA (50+ employees)	OFLA (25+ Employees)	Oregon Paid Sick Leave	EPSLA (Excludes Emergency Responders)	EFMLEA (Excludes Emergency Responders)
Eligibility Requirements	Employed 12 months, worked 1250 hours	Employed 180 days, average of 25 hours a week worked	Employed for 90 days	No minimum employment requirement	Employed for 30 calendar days unless recently rehired.
Available Leave	Up to 12 weeks	Up to 12 weeks	Up to 40 hours; prorated for part-time	Full time: Capped up to 80 hours Part time: Prorated	Up to 12 weeks; FMLA: Until 12/31/20 OFLA: Until 9/13/20
Paid time available	Use accruals	Use accruals	Up to 40 hours FT; prorated for PT; 10+ EEs Paid < 10 EEs Unpaid	<u>Regular Pay</u> Max: \$511 day Max: \$5,100 <u>2/3 Pay Rate</u> Max: \$200 day Max: \$2,000 Use accruals	First two weeks unpaid; then 2/3 Pay Rate Max: \$200/day Max: \$10,000 Use accruals
Federal, State, or Local Quarantine/Isolation Order	No	No	No	Yes	No
Advised by Healthcare Provider to Self-Quarantine	No	No	Yes	Yes	No
Experiencing Symptoms and Seeking Medical Diagnosis	Yes if "serious health condition"	Yes if "serious health condition"	Yes	Yes	No
Caring for Someone Else	Yes if meets definition of "family member"	Yes If meets definition of "family member"	Yes If meets definition of "family member"	Yes If meets the definition of "individual"	No
Caring for Child Due to Child care/School Closure	No	Yes "Child" as defined by OFLA	Yes "Child" as defined by OFLA	Yes "Son or daughter" as defined by FMLA	Yes "Son or daughter" as defined by FMLA
Experiencing a Substantially Similar Condition as Identified by U.S. Department of Health and Human Services	Maybe	Maybe	Maybe	Yes	No

Comment [TJ4]: This column lists the law's minimums in terms of eligibility for use, amount of leave available for use, and other requirements. Your organization's policy may have more generous terms than what is listed here, and if so, change the items in this column to reflect your policy.

Comment [TJ6]: This is another law that allows employers to exclude "health care providers" and "emergency responders" from the scope of coverage. If this chart will be provided to employees, add if your organization is excluding both categories of employees, please list both.

Comment [TJ5]: Employers may choose to exclude "health care providers" and "emergency responders" from the scope of coverage. If this chart will be provided to employees, add if your organization is excluding both categories of employees, please list both.

FMLA – Family Medical Leave Act

OFLA – Oregon Family Leave Act

EPSLA – Emergency Paid Sick Leave Act

EFMLEA – Emergency Family Medical Leave

Expansion Act