



# City of Phoenix

## Middle Manager and Executive Management Achievement Plan (MAP) Fiscal Year 2021-22

Employee Name: Roger Smith	
Employee ID: [REDACTED]	Employee Job Title: OAT Director
Supervisor Name: Ginger Spencer	Supervisor Job Title: Deputy City Manager
Department/Division:	

**INDIVIDUAL PERFORMANCE INDICATORS**  
(TO BE COMPLETED BY THE EMPLOYEE IN COLLABORATION WITH SUPERVISOR)

**BEGINNING OF YEAR GOALS (S.M.A.R.T.):**

- **Specific** – identify a narrow focus of what you want to accomplish
- **Measurable** – how will you know when you are successful
- **Attainable** – will this be a stretch for you or not, challenging enough but realistic
- **Relevant** – will this goal have an important impact on your success
- **Time Bound** – when will you complete this goal

Example:

Not S.M.A.R.T.	Describe each criterion.	S.M.A.R.T.
Improve the file process so we can respond to customers concerns more quickly.	<b>S</b> – Conduct a Kaizen on file process	Over the next 4 months, conduct a Kaizen on the file process to identify how to decrease response time by 25%. By the end of this rating period implement at least 2 recommended changes and measure changes in efficiency.
	<b>M</b> – 25% improvement	
	<b>A</b> – Implement 2 changes	
	<b>R</b> – Better customer service with faster response time	
	<b>T</b> – Next 4 months and this rating period	

1. Participate in more than 50 outreach meetings with community organizations, stakeholders and concerned members of the Phoenix community prior to the end of the rating period.
2. Create, in coordination with the City Manager's Office and the Department of Human Resources, an initial hiring plan for OAT within the first six months of employment.
3. Create a draft memorandum of understanding to facilitate discussions between OAT and the Phoenix Police Department prior to the end of the rating period.
4. Coordinate, along with the Department of Public Works and prior to the end of the rating period, the necessary specifications of facilities, equipment and supplies for the completion of Phase 1 of OAT office construction.

CITYWIDE LEADERSHIP COMPETENCIES	RATING
<i>Accountability:</i> Holds self and others accountable for measurable high-quality, timely, and cost effective results. Determines objectives, sets priorities, and delegates work. Accepts responsibility for mistakes. Complies with established systems and rules.	OP
<i>Approachability:</i> Is open to hearing and understanding other points of view; is a good listener; builds rapport; puts others at ease; and is accessible when needed.	SP
<i>Decisiveness:</i> Makes well-informed, effective, and timely decisions, even when data are limited or solutions produce unpleasant consequences; perceives the impact and implications of decisions.	SP
<i>Communication:</i> Ensures effective, appropriate and timely communication throughout all levels of the organization and the community, as appropriate.	SP
<i>Motivation:</i> Creates a climate where people can do their best; empowers others; invites input and assesses strengths.	EX
<i>Strategic Agility:</i> Sees the "Big Picture"; looks ahead and can anticipate consequences and trends; is future oriented; can articulate vision and options; sees beyond department/division boundaries; and takes a silo-busting strategic approach.	OP
<i>Values Diversity:</i> Fosters an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision/mission of the organization; exhibits cultural competency; and fosters an environment that promotes equity and civility.	SP

**CITYWIDE MANAGEMENT PERFORMANCE INDICATORS**

**RATING**

Audit recommendations implemented by original target date.	EX
Variance between 2020-21 actual expenditures and the 2020-21 estimate effectively managed.	EX
Progress in meeting departmental EO Plan goals in Accessibility, Business Advocacy, and Cultural Agility (ABC's).	EX
Performance Management Guides (PMGs) completed within 30 days of due date.	EX
Identify one performance metric for your specific service area to monitor and discuss with your supervisor at least quarterly. Eligible metrics come from the City Manager's Performance Measurement dashboard (phoenix.gov/citymanager/dashboard) or one chosen with your supervisor. During the year, you should identify changes to operations or to the metric as a result of your review.	EX

**GOAL SETTING ACKNOWLEDGEMENTS**

Employee/Date: \_\_\_\_\_

Manager/Date: \_\_\_\_\_

**SUMMARY OF PERFORMANCE**  
(To be completed by the employee)

**GOALS ACCOMPLISHED:**

Items 1, 2, 3 and 4

**OUTSTANDING ACHIEVEMENTS:**

**UNANTICIPATED ACHIEVEMENTS:**

Completed hiring of 3 OAT staff positions

GOALS NOT MET:

[Empty box for Goals Not Met]

OVERALL PERFORMANCE  
(To be completed by Supervisor)

RATING

OVERALL RATING SP


SUPERVISOR COMMENTS:

Roger, congratulations on completing nine months of employment with the City of Phoenix. During your first year, you set up the OAT office, hired critical staff, and worked with City Management, the Law Department and Governmental Relations on HB2721. You oversaw the build-out of the OAT Office Remodel Project working with Public Works and Engineering, and gained a good understanding of the City's hiring process. You developed notification letters and drafted a MOU for OAT and the Police Department. You did a great job connecting with various members of the community. I look forward to continuing to work with you on the full implementation of the Office.


OPPORTUNITIES FOR DEVELOPMENT AND IMPROVEMENT:

Continue to build relationships throughout the City and learn the City's processes.

END OF YEAR APPROVALS

Employee/Date:  9/19/22

Manager/Date:  9/16/2022

Next Level Manager/Date:  9/14/22

## PERFORMANCE RATING DEFINITIONS

### EXCEPTIONAL PERFORMANCE

The employee demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the City. This represents the highest level of employee performance, as evidenced by the extraordinary impact on the achievement of the City's mission. The employee is an inspirational leader and is considered a role model by City leadership, peers, and employees. The employee continually contributes materially to or spearheads City efforts that address or accomplish important organizational goals; consistently achieves expectations at the highest level of quality possible; and consistently handles challenges, exceeds targets, and completes assignments on time or ahead of schedule at every milestone.

### OUTSTANDING PERFORMANCE

The employee demonstrates a very high level of performance beyond that required for successful performance in the employee's position and scope of responsibilities. The employee is a proven, highly effective leader who builds trust and instills confidence in City leadership, peers, and employees. The employee consistently exceeds established performance expectations, timelines, or targets, as applicable.

### SUCCESSFUL PERFORMANCE

The employee demonstrates the high level of performance expected and the employee's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The employee is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The employee meets challenging performance expectations established for the position.

### MINIMALLY-ACCEPTABLE PERFORMANCE

The employee's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the employee generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the employee may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.

### UNACCEPTABLE PERFORMANCE

In repeated instances, the employee demonstrates performance deficiencies that detract from mission goals and objectives. The employee generally is viewed as ineffectual by City leadership, peers, or employees. The employee does not meet established performance expectations, timelines, and targets and fails to produce (or produces unacceptable) work products, services, or outcomes.



## City of Phoenix

**To:** Roger C. Smith  
OAT Director

**Date:** January 5, 2024

**From:** Ginger Spencer   
Deputy City Manager

**Subject:** EXPECTATIONS MEMO AND PERFORMANCE IMPROVEMENT PLAN

December 2023 marks the 2<sup>nd</sup> anniversary of your employment with the City of Phoenix and two years of operation for the Office of Accountability and Transparency. Over the two-year process, you have hired OAT staff; oversaw the buildout of the OAT office; completed the OAT Annual Report and two subsequent quarterly reports; developed the OAT MOU with the Phoenix Police Department with assistance from the City Manager's Office; developed the OAT website, logo and informational brochures; and drafted the first OAT Monitoring Report and an Initial Response Report.

The mission of the OAT is to provide an independent review of the Phoenix Police Department, and OAT is a City administrative office under the City Manager that ensures that complaints are fairly and objectively resolved. The OAT Office is a monitoring office as determined by the Phoenix City Council.

This expectation memo highlights your strengths as the OAT Director as well as development needs targeted in the attached Performance Improvement Plan (PIP).

### Strengths

Your strengths as the OAT include the following:

- Knowledge, expertise and experience with civilian review.
- Successfully managed execution of the construction remodel project.
- Oversaw hiring of 12 staff within one-year period (7/11/2022 – 6/12/2023).
- Issued Notices of Monitoring to the City Manager and the Police Chief on 54 incidents since September 2022

### Development Needs

Development needs I have chosen for you for improvement include the following:

- Display Organizational Savvy
- Build Relationships
- Manage Disagreements
- Establish Plans
- Structure and Staff/Coach and Develop

Attached is the Performance Improvement Plan for the next 120 days identifying each Competency to Develop/Leverage, Desired Impact/Outcomes, Actions to Take, and Due Dates. Please review and sign the PIP to acknowledge receipt of the plan and desired outcomes. We will meet monthly on your progress/completion of each area of development.

Attachments:

OAT Ordinance

A.R.S. 38-1117

CITY OF PHOENIX

PERFORMANCE IMPROVEMENT PLAN

Employee: Roger Smith Position: OAT Director Department: OAT

Supervisor: Ginger Spencer Today's Date: January 5, 2024 Plan dates: 1/8/2024 to 5/3/2024

Areas for Improvement or Development:

1. Display Organizational Savvy
2. Build Relationships
3. Manage Disagreements
4. Establish Plans
5. Structure and Staff/Coach and Develop

Competency to develop or leverage	Desired impact or outcomes	Actions to take	Responsible Party	Due Date	Progress / Completion (Supv. Check)
1. Display Organizational Savvy	Know what battles are worth fighting.	<ol style="list-style-type: none"> <li>1. Ask for feedback about when you have mis-judged something: What did I do? What were the consequences?</li> <li>2. Write down negative and positive consequences.</li> <li>3. Identify when others are telling you</li> </ol>	Director	Evaluate monthly	

Employee Initial RS  
 Supervisor Initial GS



2. Build Relationships	Work more effectively with colleagues throughout the organization.	<p>(verbally or non-verbally) that you're pushing too hard.</p> <p>4. Ask your boss or a peer to develop a less alienating way to have your point heard.</p>	Director	Evaluate monthly	
	<ol style="list-style-type: none"> <li>1. Develop effective working relationships with your peers.</li> <li>2. Increase tolerance for differing points of view.</li> <li>3. Minimize defensiveness in interactions.</li> <li>4. Learn to be less abrasive and tactless in your interpersonal relations by confronting the issue instead of the person.</li> <li>5. Seek feedback from your manager when your behavior comes across as too self-serving.</li> </ol>				

Employee Initial RS  
 Supervisor Initial RS

3. Manage Disagreements	Ensure productive resolution of conflict.	<ol style="list-style-type: none"> <li>1. Improve your conflict management style.</li> <li>2. Discuss the real reasons underlying the problem.</li> <li>3. Deal with conflict collaboratively.</li> <li>4. Minimize recurrent conflict.</li> <li>5. Seek feedback from peers in formal and informal situations about your effectiveness in handling interpersonal conflict.</li> <li>6. Be willing to give and take in dealing with tough conflicts.</li> <li>7. Resolve conflict with your peers.</li> </ol>	Director Colleagues in Police, HR, Law, Communications, Government Relations, etc.	Evaluate Monthly
4. Establish Plans	Develop short- and long-term plans that are appropriately comprehensive, realistic, and effective in meeting goals.	<ol style="list-style-type: none"> <li>1. Develop a weekly 1:1 agenda to cover topics such as operations, procedures, staffing, outreach, notices status, monitoring reports, etc. and</li> </ol>	Director	Evaluate Weekly

Employee Initial \_\_\_\_\_  
 Supervisor Initial RS

			<p>send to DCM ahead of 1:1 meeting.</p> <p>2. Ensure timely submission of Annual Report and Quarterly Reports by established deadlines and give draft reports to DCM to review and approve at a minimum of two weeks in advance.</p> <p>3. Provide drafts of Monitoring Reports to DCM to review and approve prior to issuance.</p> <p>4. Have copies of monitoring reports and documents to review and discuss at monthly CMO/OAT/PPD meetings.</p> <p>5. Identify, implement and document effective processes and procedures for accomplishing work of OAT.</p>					
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Employee Initial RS  
 Supervisor Initial [Signature]

<p>5. Structure and Staff/Coach and Develop</p>	<p>Develop your employees.</p>	<ol style="list-style-type: none"> <li>1. Analyze your current organization structure.</li> <li>2. Recruit and hire the right people for assignments.</li> <li>3. Build a strong team with complementary strengths.</li> <li>4. Form the right structures and team.</li> <li>5. Provide for staff continuity.</li> <li>6. Conduct a survey of staff to determine if structural problems exist.</li> <li>7. Develop/document OAT Employee Orientation Program, Training Manual and Effective Development Plans.</li> <li>8. Establish an environment conducive to feedback.</li> <li>9. Increase employees' exposure to the total organization.</li> </ol>	<p>Director OAT Team</p>	<p>Evaluate Weekly</p>
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Employee Initial RS  
Supervisor Initial JW

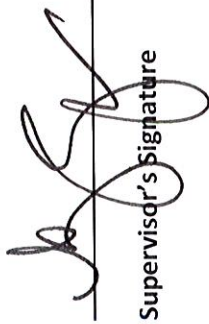
		10. Persist in the face of difficulties.		
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 \_\_\_\_\_

Employee's Signature

1/5/24

Date

  
 \_\_\_\_\_

Supervisor's Signature

1/5/24

Date

Employee Initial ES  
 Supervisor Initial ES



# City of Phoenix

## Middle Manager & Executive Management Achievement Plan (MAP) Final Rating Fiscal Year 2022-23

<b>Employee Name:</b> Roger C Smith		
<b>Employee ID:</b> [REDACTED]	<b>Employee Job Title:</b> OAT Director	<b>Supervisor Name:</b> Ginger Spencer
<b>Supervisor Job Title:</b> Deputy City Manager	<b>Department:</b> OAT	<b>Division:</b> CMO

CITYWIDE LEADERSHIP COMPETENCIES	RATING
<b>Accountability:</b> Holds self and others accountable for measurable high-quality, timely, and cost-effective results. Determines objectives, sets priorities, and delegates work. Accepts responsibility for mistakes. Complies with established systems and rules.	<b>Outstanding</b>
<b>Approachability:</b> Is open to hearing and understanding other points of view; is a good listener; builds rapport; puts others at ease; and is accessible when needed.	<b>Successful</b>
<b>Decisiveness:</b> Makes well-informed, effective, and timely decisions, even when data are limited, or solutions produce unpleasant consequences; perceives the impact and implications of decisions.	<b>Successful</b>
<b>Communication:</b> Ensures effective, appropriate and timely communication throughout all levels of the organization and the community, as appropriate.	<b>Outstanding</b>
<b>Motivation:</b> Creates a climate where people can do their best; empowers others; invites input and assesses strengths.	<b>Successful</b>
<b>Strategic Agility:</b> Sees the "Big Picture"; looks ahead and can anticipate consequences and trends; is future oriented; can articulate vision and options; sees beyond department/division boundaries; and takes a silo-busting strategic approach.	<b>Successful</b>
<b>Values Diversity:</b> Fosters an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision/mission of the organization; exhibits cultural competency; and fosters an environment that promotes equity and civility.	<b>Exceptional</b>

CITYWIDE MANAGEMENT PERFORMANCE INDICATORS	RATING
Audit recommendations implemented by original target date.	<b>N/A</b>
Variance between 2022-23 actual expenditures and the 2022-23 estimate effectively managed.	<b>Exceptional</b>
Progress in meeting departmental EO Plan goals in Accessibility, Business Advocacy, and	<b>Exceptional</b>

Cultural Agility (ABC's).	
Performance Management Guides (PMGs) completed within 30 days of due date.	<b>Outstanding</b>
Identify one performance metric for your specific service area to monitor and discuss with your supervisor at least quarterly. Eligible metrics come from the City Manager's Performance Measurement dashboard, or one chosen with your supervisor. During the year, you should identify changes to operations or to the metric as a result of your review.	<b>Outstanding</b>

## SUMMARY OF PERFORMANCE

<b>GOALS ACCOMPLISHED</b>
<p>#2 Office Construction - Completed initial move-in by August 1, 2022, a month ahead of schedule</p> <p>#3 Interagency Policy - Completed MOU by December 2022, signed in April 2023</p> <p>#5 Community Outreach - Since full staffing at Community Engagement Coordinator, OAT has conducted 5 meetings per month per coordinator.</p> <p>#6 PSB Investigations Monitored - Since the arrival of OAT's full staff of monitors in June 2023, OAT has monitored all critical incidents and more than 25 percent of discretionary incidents reported to OAT.</p>
<b>OUTSTANDING ACHIEVEMENTS</b>
<ol style="list-style-type: none"> <li>1. Commenced full implementation of the Memorandum of Understanding developed between OAT and the Phoenix Police Department, including monthly meetings, regular information sharing and monitoring of more than 35 PPD administrative investigations</li> <li>2. Completed draft Monitoring Manual and operating template for OAT Monitoring Report.</li> <li>3. Developed OAT mediation operating procedures and all essential community engagement brochures and promotional materials for distribution</li> </ol>
<b>UNANTICIPATED ACHIEVEMENTS</b>
<p>Completion, by July 2023, of the OAT Draft Monitoring Manual.</p> <p>Establishment of a network of contacts with civilian oversight mediators around the country</p> <p>Completion, by all OAT staff, of the Chicago Office of Police Accountability Public Academy in March and April 2023</p>
<b>GOALS NOT MET</b>

1. Hiring - Goal to hire all OAT staff positions by Spring 2023

By Spring 2023, OAT hired 10 of 13 positions and extended offers on 2 others, with 1 remaining position reposted in July 2023. The near complete progress in hiring followed three months of unanticipated delay as OAT positions were presented to Council in December 2022 for re-designation.

4. Publications - OAT annual report was made public on March 30, 2023 15 days after the March 15 objective.

OVERALL PERFORMANCE	RATING
OVERALL RATING	Successful

**SUPERVISOR COMMENTS**

Roger, congratulations on a successful year as the OAT Director and thank you for your contributions to the City. Throughout the year, you completed the build out of the OAT Office, created an OAT logo, website and informational brochures, completed substantial hiring of your OAT Team, published the first annual OAT report and quarterly report, finalized the OAT/PPD MOU, laid the framework for the OAT Mediation program, and continued significant outreach to the community. I am excited to see the work that is forthcoming from you and your team and eagerly await your first monitoring case/report now that PPD investigations are starting to come through your office and you have your monitoring team in place.

**OPPORTUNITIES FOR DEVELOPMENT AND IMPROVEMENT**

Continue to build and onboard your OAT team. The remaining OAT General Manager, Staff Attorney and Communications Manager positions are key to the success of the OAT Office and critical positions for your Management Team. Continue to train and hold your current and newly hired employees accountable and continue to strengthen your presence and involvement with NACOLE. Lastly, continue to build strong relationships with CMO, PPD and other city departments and increase in your knowledge of the City's administrative processes.

APPROVAL SIGNATURES
<b>Manager/Date</b> _____
<b>Next Level Manager/Date</b> _____
<b>Employee/Date</b> _____