



Employee Performance Planning and Appraisal in Missouri State Government

The Missouri State Employee Online Performance Appraisal System

PERforM

Productivity, Excellence and Results for Missouri



A Guide to the PERforM Process

Developed by

State of Missouri

Office of Administration

Division of Personnel

Training and Development

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Purpose

This material will provide information about the PERforM System and the employee performance cycle—providing “tips,” key steps and examples to help system users develop, communicate and evaluate key performance objectives for employees.

Why do Performance Appraisals?

A performance planning and appraisal process...

Helps Employees:

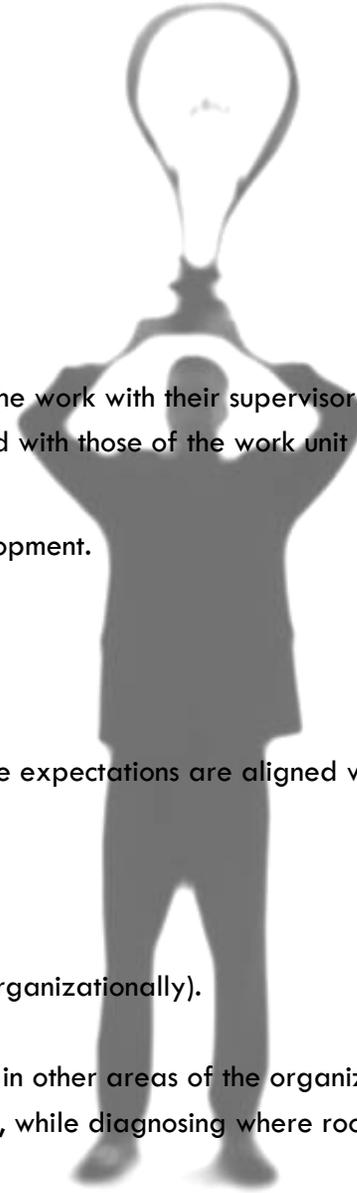
- Receive a clear indication of the most important aspects of the job.
- Understand the level of performance that is expected for success on the job.
- Have opportunity for input into decisions concerning the job.
- Pursue training and development opportunities for performance enhancement.
- Receive feedback about their performance and time to discuss other aspects of the work with their supervisor.
- Realize performance improvement when their individual expectations are aligned with those of the work unit and the agency.

Helps Supervisors:

- Identify employees' areas of strength and weakness of for the purpose of development.
- Communicate objectives and expectations for performance to the employee.
- Provide information to the employee on their performance.
- Develop employees, and helps supervisors develop in their role.
- Identify employees for project assignments or promotional opportunities.
- Realize performance improvement for their area of responsibility when employee expectations are aligned with unit objectives.
- Identify areas where further improvement is necessary.

Helps Managers:

- Identify employees for promotional opportunities.
- Identify training and development needs (individually, within the work unit and organizationally).
- By providing a basis for compensation decisions.
- Identify employees whose knowledge, skill and abilities might be better applied in other areas of the organization.
- Realize increases in productivity by their work units and by individual employees, while diagnosing where room for improvement remains.



Who Is to be Appraised?

Any employee who...

- Has 12 months of state service by January 1 of the rating period (based on SAM II-HR Leave Progression Start Date); and
- Is in a benefits eligible position as designated by the agency.

All employees who meet the above criteria will be required to have an annual performance appraisal completed between January 1 and March 31. Employees who do not meet the above criteria may be directed by state policy, agency policy, or the Director of the Division of Personnel to receive an annual appraisal conducted in the PERforM system.

Any employee who meets all of the above criteria may be exempted from receiving an annual appraisal if insufficient information exists to provide fair ratings for each component. The immediate supervisor (rater) will make this exemption by providing an explanation in the Overall Comments of the annual appraisal and submitting it to the next level supervisor (reviewer) for approval. Such exemptions must be done in accordance with all applicable state and agency policies. (e.g. An employee may transfer to your agency in December with enough prior state service to be included in the required rating group yet does not have enough time with your agency to accurately assess his or her performance.)

Types of Appraisals

The PERforM system will accommodate three (3) types of performance appraisals:

Annual (Required)

All required employees covered by the PERforM system will have one (1) annual appraisal rating per year during January 1 and March 31. Each agency may provide a more specific timeframe in which the annual appraisal should be completed.

Annual appraisals can serve as the basis for determining, among other things: developmental needs for employees; potential promotions for employees; eligibility for within-grade salary advancements; order of layoff and/or reinstatement from layoff; and potential disciplinary action.

No employee will be allowed to have more than one (1) annual appraisal per year. However, an annual rating may be amended either by a decision of the agency or as a result of an employee inquiry. Amended annual ratings will replace the original rating.

Probation

The PERforM system will accommodate ratings for the end of an employee's probationary period at anytime during the year. Probationary performance appraisals may be optional for some agencies and required by other agencies. They generally occur at the end of an employee's probationary period and serve to indicate whether the employee's probation should end or be extended.

Special

Special performance appraisals are also optional in the PERforM system but may be required by other state or agency policies. Special appraisals may be used to accommodate any type of rating as required by an agency policy or desired by the immediate supervisor. Examples of circumstances for special appraisals include, but are not limited to:

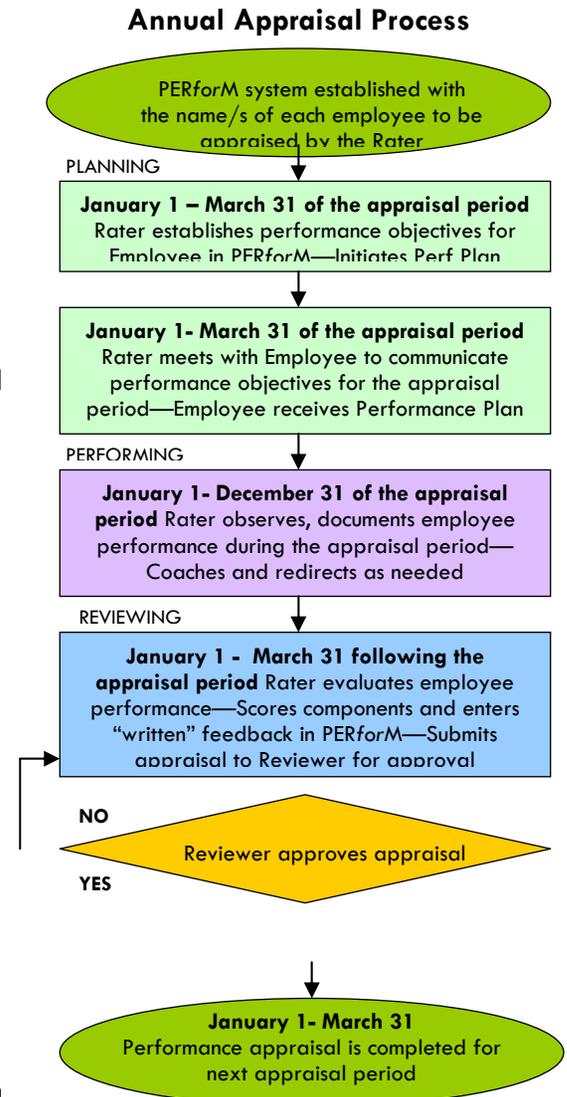
- Interim performance appraisals scheduled as quarterly, semi-annually, etc.
- As a means to improve specific areas of employee performance (i.e., improvement plan)
- Change in supervisor
- Lateral transfer

NOTE: PERforM allows one (1) active appraisal for each type to exist per appointment.

First Glance: The PERforM Process

- ❑ The performance appraisal process will be based on five (5) standard performance components that will be used for all employees – regardless of the agency they work for (Individuals designated as supervisors or managers by their agency will have 3 additional components) .
- ❑ Supervisors (Raters) will be responsible for developing position specific and measurable performance objectives for the components of each employee he or she supervises.
- ❑ Performance objectives must be established and communicated (verbally and in writing) to all employees at the beginning of the appraisal period which typically begins on January 1.
- ❑ Supervisors will observe, document, coach, redirect and provide interim reviews as needed for employees during the appraisal period to provide every opportunity for employees to succeed in their jobs.
- ❑ All (required) employees will receive an ANNUAL performance rating between January 1 and March 31 each year.
- ❑ Supervisors (Raters) will score employees on a 1 – 10 scale for each component via the PERforM system. The average score for all components will automatically determine the employee's overall performance rating:

| | |
|---------------------------|----------------------------------|
| Exceptional Successful | Outstanding Needs Improvement |
|---------------------------|----------------------------------|
- ❑ Ratings must be approved by the next level supervisor (Reviewer) before being communicated to the employee – and must be signed by the Rater, Reviewer and employee before the appraisal can be considered complete.
- ❑ Employees will be given an opportunity to respond to their rating after the appraisal is complete.
- ❑ After the completion of the rating period, the Division of Personnel and each applicable agency may review and analyze statistical reports to develop and support personnel-related recommendations regarding the performance of state employees.



PERforM

The State of Missouri's Online Employee Performance and Appraisal System

PERforM

The secure online PERforM System located on the State of Missouri's Intranet provides supervisors (Raters) and Reviewers with an easy-to-use tool to successfully manage each phase of the performance cycle.

From the supervisor's Home Page (Example A), he or she can access other links to:

- Develop and update performance objectives for employees.
- Initiate Appraisals
- Track current and pending appraisals
- Evaluate (score) each employee's job performance in each performance component
- Provide written feedback on each employee's appraisal document
- Attach documentation to support performance ratings
- Generate written Planning and Appraisal documents for employee's to sign
- View appraisal history for employees they supervise

The Missouri State Employee Online Performance Appraisal System

PERforM
Productivity, Excellence and Results for Missouri

Home My Employees My Reviews System Administration My Agency Admins Proxy Reports Online Help Log Out

Home Page

Raters

My Employee List

- [View My Current Employees](#)

Performance Plans (Objectives)

- [Develop/Update Performance Objectives](#)
- [View All Objectives Pending Employee Review](#)

Performance Appraisals (Ratings and Annual Rating Exemptions)

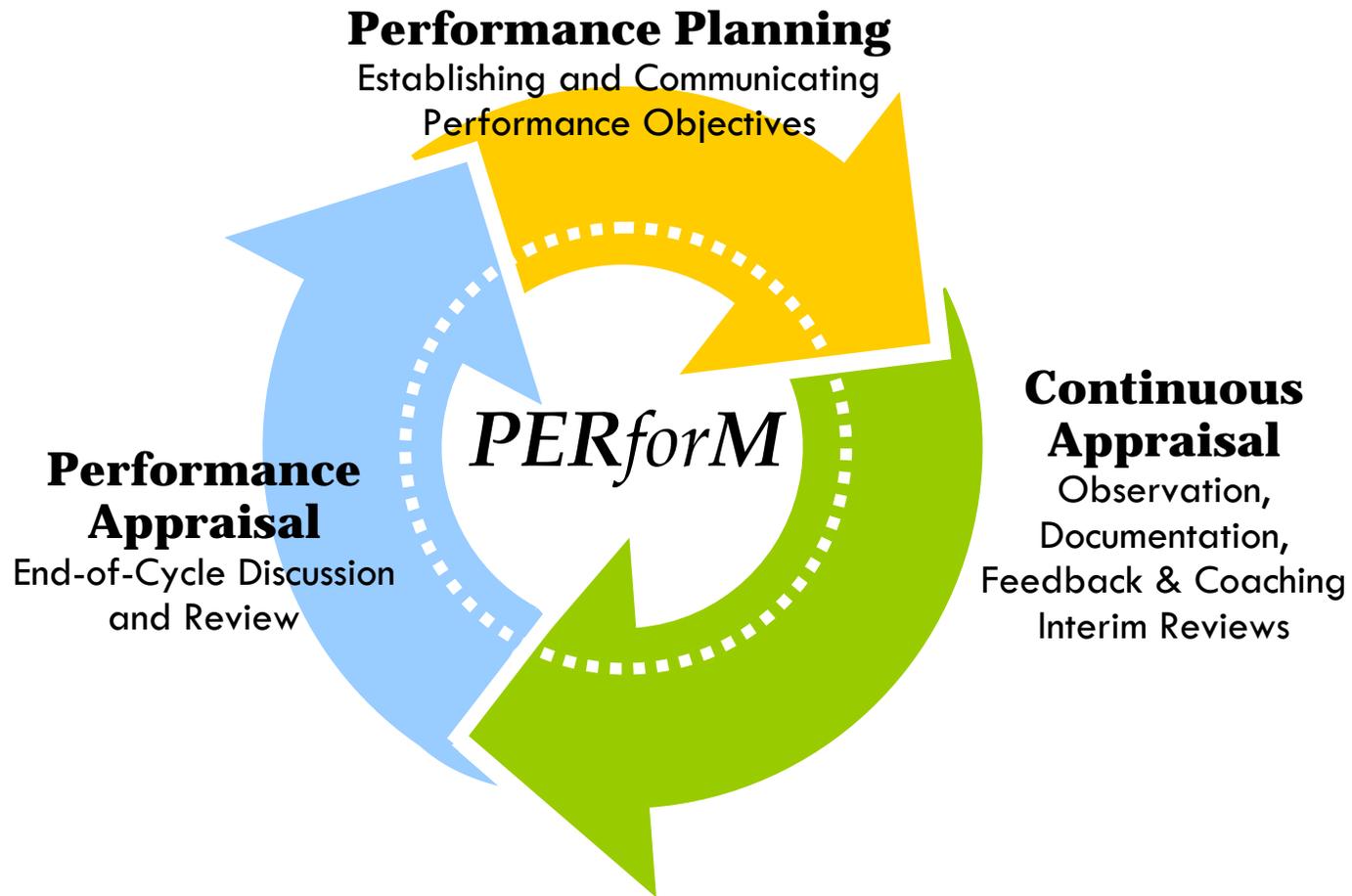
- [Create New Appraisal](#)
- [Update Incomplete Appraisals / Overturn Completed Appraisals](#)
- [View Current Complete and Exempt Appraisals](#)
- [View All Complete and Exempt Appraisals](#)
- [View All Incomplete Appraisals](#)
- [Search Appraisals](#)

Example A

Home Page functionality includes clickable links on **action words** (Develop/Update Performance Objectives, Create New Appraisals, and View/Update Appraisals) that take the user to another page where the selected action is performed.

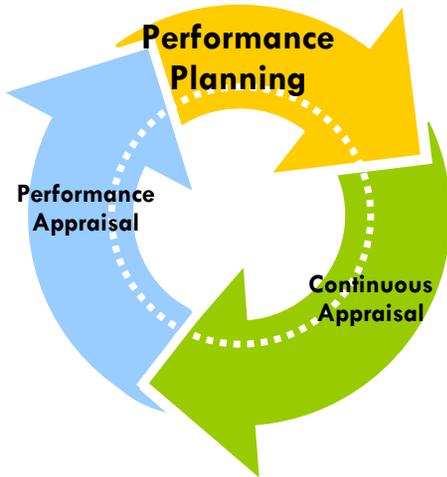
Learn more about each function and screen in PERforM at www.perform.mo.gov

The Performance Cycle



PERforM

The State of Missouri's Online Employee Performance and Appraisal System



The Performance Cycle

Performance Planning: Establishing and Communicating Performance Objectives

During this phase, the supervisor and employee meet to discuss the duties of the position and what constitutes “SUCCESSFUL” performance of these duties. This meeting/s will give the employee a clear understanding of his or her job and the supervisor’s expectations for satisfactory performance. A performance planning meeting will take place at least once a year.

Prior to—or as a result of the employee/supervisor meetings, supervisors will have the responsibility to create a written work plan for each employee he or she supervises documenting expected performance objectives.



Communication at the Beginning of the Appraisal Period

The success of the PERforM system depends to a large degree on the communication between the supervisor and employee at the beginning of the appraisal period to explain the appraisal process—and initiate an ongoing dialogue centered around the achievement of performance objectives.

The supervisor must ensure that:

- The employee understands the process;
- Performance objectives are clearly understood;
- Every effort is made to achieve agreement on the reasonableness of the objectives;
- The employee understands that the rating after the end of the appraisal period will reflect performance as measured against established performance objectives;
- The employee understands that the supervisor will provide reasonable assistance throughout the appraisal period including feedback as to the employee's progress;
- The employee understands that the supervisor is committed to taking action necessary to promote the success of the organization.

Idea!

Defining and communicating to employees the overall purpose – or essential function – of their jobs can pave the way for any discussion about performance. It communicates how the employee fits into the organization's "big picture" and why their job performance is important. To create a clear and meaningful job purpose, try using this simple formula:

The _____ is responsible for
(Job Title)
_____ to _____.
(What) (Why)

"Job title" is the title of the employee's job. This may be the actual job classification or the agency-specific working job title.

"What" describes the main function of the job. It is not the place to list all job tasks.

"Why" explains why the job is done. This should be stated very clearly to avoid confusion. When an employee understands the "why" of their job, they are more likely to be motivated and to understand their role in the organization.

Here's an example of a clearly defined job purpose:

Job Title →
The financial accountant is responsible for
What → completing all ledger entries and balances to
provide an accurate record of division
transactions and for the preparation of
monthly, year-end and statutory accounts.
Why ←

Career Development

Career Development is also an important part of the performance planning process. It provides the opportunity to discuss employee interest in activities that could develop new knowledge, skills, abilities, and further career goals.

Some supervisors may prefer a separate meeting for this type of discussion. Regardless of when the discussion occurs, it should happen not less than once a year.

Some of the purposes for discussing an individual's career development goals include:

- Identifying job duties that could be strengthened or enriched to support growth and development in the employee's current position.
- Determining training needs which could enhance employee performance and expertise.
- Discussing areas of dissatisfaction in a current position and possible opportunities for change.
- Identifying individuals who are interested in advancing within their occupational area.
- Preparing employees for higher level positions within the agency
- Coaching individuals who wish to pursue other career opportunities either because they desire a change or have reached a plateau in their current position.

A career development discussion may also head off potential performance problems due to the employee's loss of interest, insufficient training, or inadequate challenge.

Employees should only be expected to participate in career development discussions on a voluntary basis, and it is not necessarily an issue for all staff members.

Encouraging Ideas

Employees may have useful suggestions concerning their own developmental activities, but the supervisor should be prepared with suggestions too.

Options to consider may include:

- State sponsored/outside training programs
- Academic programs for adult learners
- Reading materials, training videos, etc.
- Developmental assignments
- Rotation of job assignments
- On-the-job training
- Participation in committees/special projects
- Leading a change initiative
- Attending meetings with or in place of the supervisor
- Mentoring a co-worker
- Representative to an inter-agency task force
- Writing and presentation skills development

Performance Components

A performance component is a major area of responsibility critical to the success of each employee's job. The State of Missouri's appraisal process establishes "cross-the-board" performance components used to evaluate all employees.

Employees:

State employee (regardless of job classification) will be rated on 5 specific components.

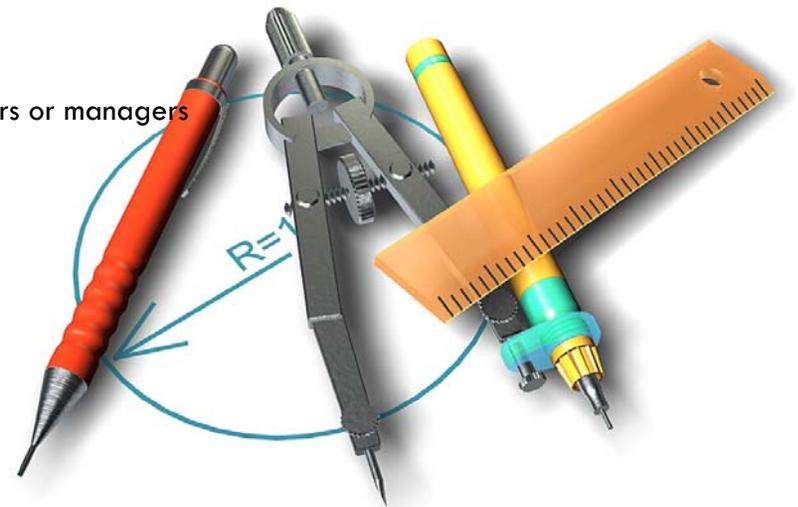
1. Knowledge of Work
2. Quality of Work
3. Situational Responsiveness
4. Initiative
5. Dependability

Supervisors/Managers:

In addition to the 5 components listed above, individuals designated as supervisors or managers by their agency are also be evaluated on the following 3 components:

1. Performance Planning and Documentation
2. Leadership
3. Management Skills

Information about each component begins on the next page.



Creating Performance Objectives for Performance Components

Performance components describe major areas of the employee's job.

Performance objectives describe the level of performance the employee is expected to achieve for each component.

Establishing the correct performance objectives for each component is critical to the employee's success and the PERforM process.

- Supervisors (Raters) are responsible for developing performance objectives for each component on the employee's planning document. **This can also be a collaborative process between supervisor and employee.**
- At least one performance objective must be established for each component. Typically 3 – 7 objectives are needed to provide the specific direction and instruction the employee needs to be successful.
- Performance objectives must focus on position specific assignments, tasks, goals or projects that the employee is expected to complete during the appraisal period and should be consistent with the organizational goals and mission as well the specific duties of the position as described in the position description and classification specification.
- It is not necessary (and often not possible) to write objectives for every task. Objectives should focus on tasks or areas of greatest importance.
- In agencies where more than one person performs the same job task or function, objectives may be written for the parts of the jobs that are the same and applied to all positions doing that task.

Performance objectives should always be written to reflect performance at the level of a trained, experienced "SUCCESSFUL" employee.

Types of Performance Objectives

Performance objectives typically fall into three categories:

Routine Objectives

Routine objectives are based on tasks or assignments that the employee is expected to do on a regular basis. These objectives are generally consistent from one appraisal period to the next and part of the employee's day-to-day work process.

Project Objectives

Other performance objectives may change with each appraisal period (i.e., **special projects**). These objectives are based on specific assignments to be completed or meet a specified stage of completion during the appraisal period. These objectives may change significantly from one appraisal period to the next. In some cases these objectives may evolve to become routine objectives in later appraisal periods after the project has reached the implementation phase.

Developmental Objectives

Developmental objectives are chosen to enhance the employee's performance and prepare the employee for future positions and growth within the organization. Raters (supervisors) and employees should work together to determine if/when specific developmental objectives should be part of the employee's performance plan.

Properly Written Performance Objectives:

- Allow employees to understand what is expected of them from the beginning of the appraisal period making it easier for them to “hit the mark” and perform well.
- Enable the supervisor to more readily observe, document and coach rather than someone called upon to make broad judgments about the employee (i.e., evaluate the work, not the worker).
- Provide the employee a means of self-measure.
- Provide tangible means of clarification if/when disagreements about work assignments arise.
- Allow for an accurate comparison of “what was done” to “what was expected,” thus reducing Rater error in the final evaluation phase.

Make Your Performance Objectives **SMART**

Many supervisors (raters) find it helpful to use **SMART** criteria when writing their objectives:

Specific means that an observable action, behavior, or achievement is described.

- It can also mean that the work relates to a rate of performance, frequency, percentage or other number. The objective should be specific about the result—not the way it is achieved.

Measurable means that a method or procedure must exist to assess and document the quality of the outcome.

- Some work is measured easily; in other cases, behaviors or results need to be verified or observed.

Achievable means that the objective must be obtainable.

- The best objectives require employees to stretch to obtain them—but they aren't extreme. That is, the objective is neither out of reach nor below standard performance. Objectives set too high or too low become meaningless, and employees naturally come to ignore them.

Realistic means that you (and the employee) have the resources to accomplish the objective.

- Just because an objective is *achievable* doesn't necessarily mean that it is realistic or relevant.

Time-bound means that there is a point in time when the work objective will start or be completed.

Performance Objectives: A Closer Look

Depending upon the job, performance objectives can be written in a variety of ways as outlined below.

| Objective: | Description: | Example: |
|--------------------------|---|--|
| Quantity | Specifies how much work must be completed within a certain period of time. | "Complete at least 50 claims per week." |
| Quality | Describes how well the work must be accomplished; specifies accuracy, precision, appearance, or effectiveness. | "95% of reports are completed without necessary revision." |
| Time-Based | Answers the questions: By when, how soon, or within what period. | "File reports to correct agency within 3 days of receiving the claim." |
| Resource | Used when desired performance should result in money saved or earned, hours worked are reduced, materials are not wasted, etc. | "The computer handbook project will be completed with only internal resources." |
| Behavior | Describes conditions in which an individual's behavior (attitudes, mannerisms, etc.) has an effect on performance. | "Speak courteously to clients to maintain a positive image for the agency." |
| Regulation | Used when only the officially-prescribed policy, legislative mandate, procedure, or rule for accomplishing the work is acceptable. | "Forms will be completed according to Federal mandates." |
| Effects of Effort | Addresses the ultimate effect to be obtained; expands statements of effectiveness by using phrases such as: so that, in order to, or as shown by. | "Establish inventory levels for storeroom so that supplies are maintained 100% of the time." |

The Performance Grid: A Tool for Clarifying Performance Objectives

The Performance Grid is a tool that can help Raters develop performance objectives for employees in an organized fashion—and from four different perspectives.

The “Grid” asks the following questions:

1. What new activities, projects or tasks do you want the employee to do that he or she has not done before? (Achieve)
2. What critical functions or tasks must the employee continue to do? (Maintain)
3. What actions should the employee take or prepare for to prevent potential pitfalls that could hamper his or her performance or the continued delivery of products and services? (Avoid)
4. What specific behaviors of the employee or current work processes must be changed (or discontinued) to improve individual and organizational effectiveness? (Eliminate)

How do these areas translate into specific performance objectives for your employees?

The Performance Grid

| | | | |
|------------------------|------------|------------------------|-------------------------|
| | NO | I Achieve | III Avoid |
| Do you have it? | | | |
| | YES | II Maintain | IV Eliminate |
| | | YES | NO |
| | | Do you want it? | |

A Process for Writing Performance Objectives:

1. Spend some time initially thinking about the organization, your team's mission and your employees.
 - What work processes are team members responsible for completing?
 - What processes are in need of improvement?
 - What are the developmental needs of the people you supervise?
 - What needs to get done—and who needs to do it?
2. Think about the position and the person for whom the objective will apply. What other information do you need (i.e., position description, previous appraisals, notes from discussions with the employee, etc.)?
3. Think about the first component (Knowledge of Work) and draft the first objective.
 - What does the objective address (routine job function, special project, development goal)?
 - How does the objective apply to the job component?
4. Now that you have something down on paper, think about why the objective is needed.
 - What results does it produce?
 - What outcomes will it have?
 - Why are those important?
5. If necessary, modify the outcome to **emphasize results instead of activity**.
6. Next, think about ways of measuring the work you have begun to specify in the objective.
 - How can you tell whether or not the work or results occurred?
 - What is the measure of those results – Quality? Quantity? Speed? Accuracy? Frequency?
7. Go back to your objective – does it include a measure?
8. Think about the timeframe in which the objective (work) is to be accomplished - specify deadlines, timeframes, due dates, etc. as needed.
9. If you think it will help, ask your boss (the Reviewer) what he or she thinks the objective means, or ask the employee who is to be accountable for meeting the objective what he or she thinks it means.
10. If you believe there is any room for misinterpretation, rewrite the objective again.

Remember...

When writing objectives, be clear about what results you want to achieve.

For example:

You consider establishing the following objective for one of your employees:

“Contribute more to team meetings.”

To determine if this is really the objective you want to use, ask yourself the following questions:

Q: Why do I want the employee to do this?

A: So other team members know what specific projects the employee is working on.

Q: Why do other team members need to know about the employee's projects?

A: So they will be more effective in their own projects and avoid duplication of effort.

The objective instead becomes:

“Provide all team members weekly updates on your projects in order for them to work effectively on their own projects.”

When Performance is Difficult to Quantify

Sometimes the difference between marginal, successful and exceptional performance is high achievement in a few subtle aspects of ability or behavior such as showing enthusiasm, encouraging openness, or building strong professional relationships. These aspects of performance can be fundamental to results, but, because they are difficult to quantify, they can all too easily be neglected.

Supervisors and managers who can identify those aspects and communicate them to their employees stand a better chance of encouraging high performance from their staff and more readily justify their performance appraisal comments and ratings.

INSTRUCTIONS: Consider an employee that reports to you which you believe may have a performance objective that is difficult to quantify in terms of performance. Briefly describe the job and/or objective in the area indicated below. Next, consider each of the three performance levels listed. Indicate what critical behaviors, actions or results, either achieved (or not achieved) by an employee in this job would represent (or justify) each performance level.

| | |
|--|---|
| Job and/or Objective: | |
| Performance Level | Critical Behaviors, Actions or Results |
| Marginal or Below: The employee fell short of the objective. Improvement is needed. | |
| Shows Appropriate Ability: The employee successfully met the goal or purpose of the objective. | |
| Exceeded Expectations: The employee's performance surpassed what I expected for this objective. | |

Entering Employee Performance Objectives into the PERforM System

Initiating the Process:

Raters can begin to enter performance objectives for employees in PERforM by either selecting this function from the drop-down menu under “My Employees” or by using the link, “Develop/Update Performance Objectives” under the Performance Objectives heading on their Home Page (Example B).

Selecting the Employee:

Once either link is selected, the Rater will be taken to a page displaying a list of the employees he or she supervises. From this list, the Rater will select the employee for which he or she wishes to add/edit objectives (Example C).

Example B

Example C

| Employee Name | Title Code | Job Title | Organization Name | Supervisor |
|------------------------------------|------------|-------------------|-------------------|------------|
| LEVY, KELLY ANN | 000493 | TRAINING TECH III | PERS-STAFF | Yes |
| SCROGGINS, CYNTHIA | 000493 | TRAINING TECH III | PERS-STAFF | Yes |

Entering Employee Performance Objectives into the PERforM System

Selecting the Appraisal Type:

Once the Rater clicks on the name of the employee for whom he/she wishes to add/edit objectives, the Rater will view the Develop/Update Performance Objectives screen.

From this screen, the Rater must select the type of appraisal for which the objectives will be used (Annual, Probationary or Special) and then click the 'Show Performance Objectives' button to proceed (Example D-1).

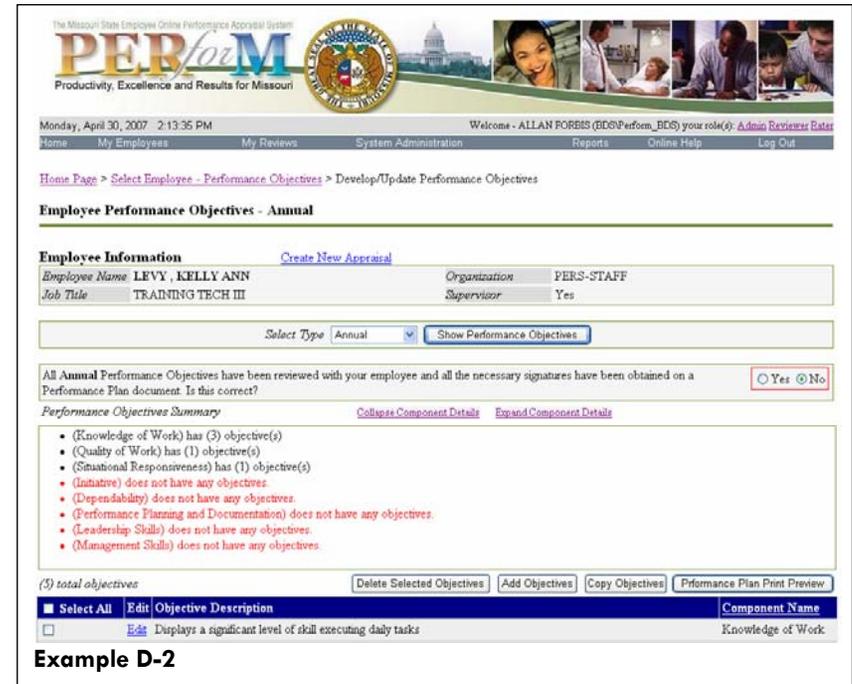
Adding Objectives for the Employee's Job Components:

After the selection has been made and the 'Show Performance Objectives' button has been clicked, the Rater will view the Develop/Update Performance Objectives screen which now displays the selected employee's objectives and provides options to add, edit and delete objectives or copy objectives from another employee (Example D-2).

To add objectives, the Rater will click the "Add Objectives" button and the Add Performance Objectives screen is opened (See Example E on the next page).



Example D-1



Example D-2

Entering Employee Performance Objectives into the PERforM System

Using the Add Performance Objectives Screen (Example E), Raters can enter objectives by:

1. Typing the performance objective in the Objective Description field;
2. Choosing the component type the objective applies to from the drop-down list;
3. Clicking either the "Save" or "Save & Add More" button.

When the Rater clicks "**Save**," the new objective will be saved to the database and a message appears which indicates that the objective has been successfully added. The new objective appears in a list on the right side of the screen so that the Rater can see what objective they have added.

When a Rater clicks "**Save & Add More**," the new objective will be saved to the database and the objective description text box will be cleared out allowing for the addition of another new objective. A message will appear indicating that the objective has been successfully added.

When the Rater goes back to the Develop/Update Performance Objectives screen, he or she can see all of the objectives they have assigned to the employee for the type of appraisal (Annual, Probationary or Special) they are working with.

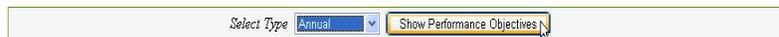


The screenshot displays the PERforM system interface. At the top, it says "The Missouri State Employee Online Performance Appraisal System" and "PERforM Productivity, Excellence and Results for Missouri". The Missouri State seal is visible. The date and time are "Monday, April 30, 2007 2:18:50 PM". The user is identified as "ALLAN FORBIS (BDS/Perform_BDS)" with roles "Admin Reviewer Rater". Navigation links include "Home", "My Employees", "My Reviews", "System Administration", "Reports", "Online Help", and "Log Out". The breadcrumb trail is "Home Page > Select Employee - Performance Objectives > Develop/Update Performance Objectives". The main heading is "Employee Performance Objectives - Annual". Below this is the "Employee Information" section for "LEVY, KELLY ANN" (Job Title: TRAINING TECH III, Organization: PERS-STAFF, Supervisor: Yes). The "Objective Description" field contains the text: "Takes the initiative to anticipate necessary steps to complete work and prepare for those steps ahead of time." The "Component" dropdown is set to "Initiative". At the bottom, there are buttons for "Save", "Save & Add More", "Cancel", and "Back to Objectives". A message at the bottom left states "Objective successfully added." On the right side, a list shows "(1) objectives added" with a table containing one entry: "Takes the initiative to anticipate necessary steps to complete work and prepare for those steps ahead of time" with the component "Initiative".

Communicating Performance Objectives to the Employee Printing the Performance Plan for the Employee to View and Sign:

Raters can print their employee's Performance Plan (Planning Document) using the following steps:

1. From the Develop/Update Performance Objectives Screen (Example F), select an Appraisal Type to work with and click the "Show Performance Objectives" button to execute the selection.



2. Next, click the "Performance Plan Print Preview" button.
3. Once selected, the printer-friendly version of the document is displayed (Example G).
4. Click the "Print" icon near the Missouri State Seal in the top right corner of the document. A printer dialog box will appear to select the desired printer.



Monday, April 30, 2007 3:09:24 PM Welcome - ALLAN FORBIS (BDS/Perform_BDS) your role(s): Admin, Reviewer, Rater

Home My Employees My Reviews System Administration Reports Online Help Log Out

Home Page > Select Employee - Performance Objectives > Develop/Update Performance Objectives

Employee Performance Objectives - Annual

Employee Information [Create New Appraisal](#)

Employee Name LEVY, KELLY ANN Organization PERS-STAFF
Job Title TRAINING TECH III Supervisor Yes

Select Type Annual Show Performance Objectives

All Annual Performance Objectives have been reviewed with your employee and all the necessary signatures have been obtained on a Performance Plan document. Is this correct? Yes No

Performance Objectives Summary [Collapse Component Details](#) [Expand Component Details](#)

- (Knowledge of Work) has (1) objective(s)
- (Quality of Work) has (2) objective(s)
- (Situational Responsiveness) has (1) objective(s)
- (Initiative) has (1) objective(s)
- (Dependability) has (1) objective(s)
- (Performance Planning and Documentation) has (1) objective(s)
- (Leadership Skills) has (1) objective(s)
- (Management Skills) has (1) objective(s)

(0) total objectives [Delete Selected Objectives](#) [Add Objectives](#) [Copy Objectives](#) [Performance Plan Print Preview](#)

| Select All | Edit | Objective Description | Component Name |
|------------|------|-----------------------|----------------|
|------------|------|-----------------------|----------------|

Example F

PERforM THE MISSOURI STATE EMPLOYEE PLANNING AND APPRAISAL SYSTEM

Productivity, Excellence and Results for Missouri

Performance Plan - Annual

Employee's Performance Plan Details [<<< Back To Performance Objectives](#)

| | |
|---------------------|-----------------------------|
| Employee Name | LEVY, KELLY ANN |
| Supervisor Name | FORBIS, ALLAN J. |
| Job Title | TRAINING TECH III |
| Agency | OFFICE ADMINISTRATION-OPER |
| Org | PERS-STAFF |
| CIVS Description | UCP MERIT SYSTEM CLASSIFIED |
| Percentage Fulltime | 1.0 |
| Months of Service | 162.0 |
| Appraisal Type | Annual |

[Click to print](#)

Example G

Communicating Performance Objectives to the Employee

Performance objectives should be **clearly stated and communicated to the employee in person** so that the employee has an opportunity to confirm his or her understanding of the objectives.

Supervisors (Raters) will generate a Performance Plan document via PERforM for the employee to keep. The employee, the Rater and the Reviewer will document this communication by signing the Performance Plan. Each agency will determine how the original, signed Performance Plan will be retained.

In PERforM, this communication process is not considered complete until the Rater has verified in the system that the Performance Plan has been reviewed with the employee and all necessary signatures have been obtained on the Performance Plan. To achieve this verification, the Objectives Reviewed box on the Develop/Update Performance Objectives Screen is outlined in red until the radio button is switched to "Yes" by the Rater.

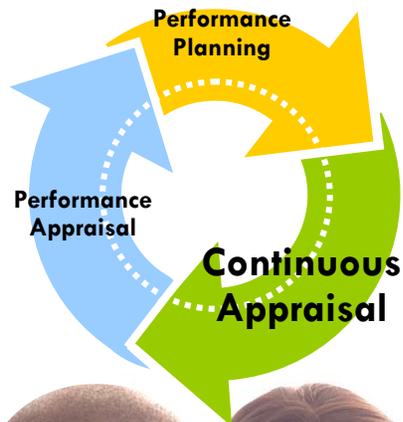
Employee Performance Objectives

| | |
|---|--|
| All Performance Objectives have been reviewed with your employee and all the necessary signatures have been obtained on a Performance Plan document. Is this correct? | <input type="radio"/> Yes <input type="radio"/> No |
|---|--|

Once the Rater has indicated they have reviewed the objectives with the employee by selecting "Yes," the red outline around the radio buttons disappears. The Rater cannot proceed with the Appraisal process until this action has been completed.

If at anytime during the appraisal period the Rater modifies the employee's performance objectives, the radio button will automatically switch from "Yes" to "No" and the red outline will reappear. This will indicate the Rater must repeat the review process. This includes printing a new Performance Plan document, reviewing the objectives with the employee and obtaining the necessary signatures on the Performance Plan document.

Note: It is important to note that simply selecting the "Yes" button does not initiate an appraisal. The Rater must use the Appraisal functionality of the PERforM system and create an appraisal for each employee.



The Performance Cycle:

Continuous Observation, Documentation and Feedback during the Appraisal Period

The overall effectiveness of the appraisal process depends on regular feedback between the supervisor and employee. During this phase, the supervisor will observe and document instances that pertain to how well the employee is meeting his or her established performance objectives. Similarly, the employee should also be encouraged to discuss observations, issues or concerns about their job performance with the supervisor. This regular and timely communication allows the supervisor to work with the employee to address instances where performance objectives are not being met and provide a means to correct the problem to get the employee back on track. Recognizing instances of good performance and other successes pertaining to the employee's work can help to create the motivating atmosphere that allows the employee to excel in their job and attain even higher levels of job satisfaction.

The following action items are synonymous with improving the employee's current performance and building the employee's capabilities for the future during the appraisal process:

- Observing and documenting performance
- Providing instruction
- Directing the employee's efforts
- Providing encouragement
- Correcting poor performance
- Recognizing good performance
- Listening to employee concerns and ideas
- Removing barriers to performance
- Encouraging continued learning

Ultimately, ongoing communication between the supervisor and employee ensures that there are no surprises when the performance appraisal is held.

Observing and Documenting Performance:

What to observe:

- Important job duties
- Special projects and critical incidents
- Interactions with others
- Productivity vs. total activity
- Job performance and goal accomplishment – not personality

How to observe:

- Review work, either total output or a sample
- Observe employee work activity first-hand
- Self-reporting on progress by the employee
- Consult with others regarding the employee's performance
- Noting or investigating commendations or complaints

How to document:

- Be accurate; document only objective facts.
- Be balanced and fair.
- Document incidents that describe all levels of performance, not just EXCEPTIONAL or NEEDS IMPROVEMENT.
- Keep documentation on all employees.
- Document on a regular basis, not just when something “noteworthy” occurs.
- Make it defensible

Everything you write about an employee's performance—whether it is intended to be temporary or permanent—must be clear, accurate and free from bias for the following reasons:

A clear, written record of discussions about performance issues can prevent misunderstandings.

Clear documentation provides proof that employment decisions and actions were based on fair, objective, job-related criteria.

What you write about a person's performance can become a record in a legal proceeding if a performance decision is challenged in court.

Observing and Documenting Performance The Employee Performance Log

Performance Logs Include Critical Action Areas:

Date – Enter the date that each entry was made. If this does not correspond to the date on which performance occurred, be sure to specify significant dates in the Description of Performance or Comments section.

Description of Performance – Record a brief statement of what happened. Include any event, action or behavior associated with the employee's job performance that had either a positive or negative impact on the work of the unit. Remember that you are documenting a behavior, not an attitude or personality.

Impact – Briefly describe what happened (positive or negative) as a result of the employee's job performance.

Comment and/or follow-up – Include any information that will be useful to you, the employee, the Reviewer, or other supervisors. If coaching, counseling, or praise resulted from the performance, make a record of it here. Indicate any follow-up action you plan to take and the date or time period in which it is to take place.

Initial – This column may be used as best fits the situation. If the performance log is to be printed, this area can contain the initials of the Rater. It may also be used to provide a space where the employee can initial indicating his or her awareness of the entry.

Effective supervisors know that getting the best from their employees involves reinforcing positive behaviors as well as correcting negative behaviors. A balanced evaluation *at the end* of the appraisal period requires a balanced record of performance *throughout* the appraisal period.

Suggestions for Documenting Employee Performance:

1. Make a list of behaviors/results (positive and negative) you believe warrant documentation. Be aware of this list in your daily supervision activities.
2. If something strikes you as out of the ordinary, it is likely worth documenting and mentioning to the employee.
3. Discussing the log entry with the employee (or having the employee initial the entry) each time an entry is made ensures feedback.
4. Try to make frequent entries for each employee you supervise (weekly, bi-weekly, monthly). Reviewing the employee's performance objectives can help remind you of specific instances you may want to document.
5. Document observable behavior – not attitudes or personalities.
6. Keep your entries short and simple; one issue or behavior at a time.

Each agency may have specific policies or guidelines which further define the use of employee performance logs.

Observing and Documenting Performance Make it Defensible

It is essential that everything you write about an employee's performance—whether it is intended to be temporary or permanent—be clear, accurate and free from bias for the following reasons:

- ❑ A clear, written record of discussions about performance issues can prevent misunderstandings.
- ❑ Clear documentation provides proof that employment decisions and actions were based on fair, objective, job-related criteria.
- ❑ What you write about a person's performance can become a record in a legal proceeding if a performance decision is challenged in court.

Consult with you human resources office or your agency's legal counsel if you are unsure about what information to include as documentation regarding an employee's job performance.



Performance Feedback

Supervisors must communicate regularly with employees about their actual performance compared to performance objectives established in the planning phase.

An employee who is meeting or exceeding performance objectives should be recognized and praised to reinforce the desirable behavior.

It is also important to identify areas of weak performance and correct them as soon as possible.

Constructive feedback directs the employee's attention to the performance area/s not meeting the established performance objectives. This feedback should provide the employee with specific information on how to improve performance.

Encourage the employee's participation in the problem-solving process. The supervisor should respond to the employee's ideas and expand on them if necessary.

Feedback Guidelines:

- Information about the employee's performance should be **specific** and convey concise explanations to the employee to increase understanding.
- Feedback should be given in a **timely** fashion so that immediate action can be taken to encourage and maintain good performance and improve areas of poor performance.
- Feedback should be objective and **work-related**. It should focus on the employee's job performance. Avoid addressing personality traits, which encourages defensiveness. Putting labels on behavior like "Bob you're just not motivated" only personalizes the issue and may prompt the employee to become defensive—inhibiting future communication.
- **Frequent** feedback gives employees the opportunity to improve performance at an early stage and more likely to accept the need to improve.



Periodic Progress Reviews

While performance feedback should be an everyday, ongoing process for every supervisor, occasional formalized feedback helps in the overall evaluation. As a general guideline, progress reviews should be held on a quarterly basis (or as prescribed by the agency).

NOTE: If as a result of a periodic performance review (or any other reason) performance objectives for the employee are changed during the appraisal period, a new Performance Plan document must be created using the PERforM system and presented to the employee.

A 4-Step Process to Periodic Reviews

STEP 1

Regularly observe and document each employee's performance. Enter performance related data into a "fact file" or "supervisor's log."

STEP 2

Regularly give each employee feedback on their performance that is specific, timely and work-related.

STEP 3

Plan for and schedule the progress review

- Explain to the employee that the purpose of the meeting is to review performance objectives, and identify actions that can help the employee be even more effective at work.
- Review the employee's performance objectives.
- Review notes or other information you have obtained about the employee's work so far.
- Make a preliminary determination about how well the employee is meeting established objectives.
- Consider whether or not the employee's job performance or changing work priorities require the addition or deletion of any performance objectives.
- Make a list of any other issues you want to discuss.

STEP 4

Conduct the Meeting

- Ask the employee for a self-assessment of his or her performance.
- Add your perspective—sharing observations.
- Reinforce (positively) favorable performance and accomplishments.
- Discuss causes and solutions to any performance issues/problems.
- Ask how you can help the employee succeed.
- Discuss whether any changes you may have discussed justify modification of the employee's performance plan.



The Performance Cycle

Performance Appraisal

Performance review and appraisal is the final phase of the appraisal cycle. It involves the completion of the formal appraisal document containing ratings and comments for each of the employee's job components and overall comments about the employee's work during the appraisal period. It also includes a discussion between the supervisor and employee regarding:

- Where performance met, exceeded or did not meet expectations;
- Learning and development needed and received;
- Conduct and behavior issues relative to performance;
- Goals and/or work priorities set and achieved;
- Performance planning for the next appraisal period

Formal appraisals will/can be made at the following times prescribed by the agency:

- Annually (Required)
- At the completion of the probationary period
- When an employee resigns
- When the employee transfers to another division of state service
- When the employee is to be assigned to a different supervisor
- When the employee's performance warrants an appraisal



Common Rating Errors to Avoid

“Halo Effect” - Rating the employee based on the overall impression of the work—but avoiding or ignoring smaller problem areas that need attention.

“Pitchfork Effect” - Rating the employee based on a recent event, either positive or negative instead of considering the employee’s total performance during the entire appraisal period.

“Stereotyping” - Rating the employee based upon a preconceived perception of the employee. Supervisors need to be aware of any potential perceptions or biases and avoid them when preparing written evaluations and determining ratings for job components.

“Comparing” - Comparing one employee’s performance with another without considering the differences (complexity or scope) of each employee’s performance objectives.

“Similar-to-Me Effect” - Reviewing and rating more favorably those employees whom they perceive as similar to themselves.

“Central Tendency” - Consistently rating all employees the same when the performance of some employees clearly warrants a higher or lower rating.

Using Comments to Explain and Support Rating Decisions

Supervisors (Raters) are encouraged to include written comments pertaining to each employee's performance components as well as overall comments regarding the employee's job performance on the employee's appraisal document.

Written Comments:

- Should provide direct, specific feedback to the employee regarding positive performance and/or problem or development areas.
- Should be expressed in the form of results statements that indicate the actual performance or results achieved for each component as compared to the established performance objectives.
- Be legally defensible.

Examples:

Sample Performance Objective

Research and write a grant proposal to study alternative energy sources that includes all requirements outlined in Guidelines for D.O.E. Grant Program by October 31.

Conduct, at a minimum, monthly reviews of all cases assigned to you and biweekly client contacts.

Sample Results Statement

You completed the grant proposal, which contained all the required information and followed the prescribed format on September 15, over one month ahead of schedule.

You are very knowledgeable about your caseload and are able to provide current information about any client assigned to you. For approximately three months during this rating period your client contacts did not meet the stated biweekly expectation. However, after our progress review, I noted immediate improvement and this has not been a problem since.

Writing Tips:

Always write comments to the employee being evaluated, not to the third person, "she" or "he."

Avoid comments that supply excuses such as *"Although probably more our fault than his, John has not been able to meet this objective."*

Try to strike a balance between comments that are too specific and too general. If comments are too specific, it may appear the supervisor is "nickel and diming" the employee. If comments are too general, the employee does not know exactly which behavior was on target—or needs attention.

Evaluating and Rating Employee Performance Components

At the conclusion of the defined appraisal period, in conjunction with providing comments regarding each employee's performance, Raters will use PERforM to rate the employee's performance in each performance component on a scale of 1 – 10. The score will reflect how well the employee performed with respect to **all** of the objectives listed for each component.

The following information is presented as a “**guideline**” to assist each rater in determining the appropriate rating to select for each applicable component.

| Component Rating Guidelines | | | | | | | | | | |
|---|---|---|--|--|--|-------------|-----|-------------|-----|------|
| Rating | ○ 1 | ○ 2 | ○ 3 | ○ 4 | ○ 5 | ○ 6 | ○ 7 | ○ 8 | ○ 9 | ○ 10 |
| Using observation, documentation and feedback relevant to the employee's performance during the appraisal period, determine which of the following ratings is appropriate for each component? | Needs Immediate Improvement The employee consistently failed to meet few – if any objectives for the job component. | Development Area The employee met some of the stated objectives for the job component – but sometimes fell short of others. | Shows Appropriate Ability The employee met most if not all of the stated objectives for the job component. | Shows Strength The employee met most and exceeded many of the established objectives for this job component. | Shows Exceptional Skill The employee consistently exceeded all stated objectives for this job component. | | | | | |
| | Needs Improvement | | Successful | | | Outstanding | | Exceptional | | |

Distribution of Performance Ratings

After the scores for each of the employee's performance components have been entered, PERforM will automatically calculate and indicate the employee's overall performance rating on the employee's appraisal form. Each employee will receive one of four possible performance ratings. The following general definitions of each rating are provided below to help distinguish among each level of performance.

| Exceptional | Outstanding | Successful | Needs Improvement |
|--|--|--|---|
| <p>The employee performed as a model of excellence by surpassing expectations on a consistent basis for all performance objectives. Performance at this level leaves little, if anything to be desired. The employee rarely, if ever, requires supervision or follow-up and performs independently in planning, anticipating problems and taking appropriate action. The employee shows a good grasp of the "big picture" and thinks beyond the details of the job or project at hand.</p> | <p>The employee's performance frequently exceeds established performance objectives. This rating recognizes the employee's consistent effectiveness and accomplishments which are above normal expectations. Errors in judgment are rare and seldom repeated. With minimal supervision or follow-up, important jobs are completed on schedule and frequently surpass expected results.</p> | <p>The employee's work consistently meets the established performance objectives for each component and regularly achieves expected results. Job tasks are accomplished in a timely and acceptable manner, initiative and output are constant – and the employee is generally competent and knowledgeable in most if not all aspects of his or her job. If there are performance shortfalls, they are often attributed to newness on the job, missing or undeveloped skills or experience.</p> | <p>The employee's work inconsistently meets the established objectives for job components and indicates that critical tasks are not completed in the time or manner expected. Performance is below the minimum acceptable level – and the employee often requires close supervision, including step-by-step guidance. Immediate correction of performance is necessary.</p> |

In conjunction with PERforM, a percentage distribution cap will allow up to a specific percentage of an agency's employees (who are required to receive an annual performance appraisal) to be rated in the Exceptional and Outstanding categories combined.

Each agency will establish their own distribution percentage (not to exceed any established statewide percentage) for Exceptional and Outstanding categories and establish procedures to monitor the number of employees who merit this distinction.

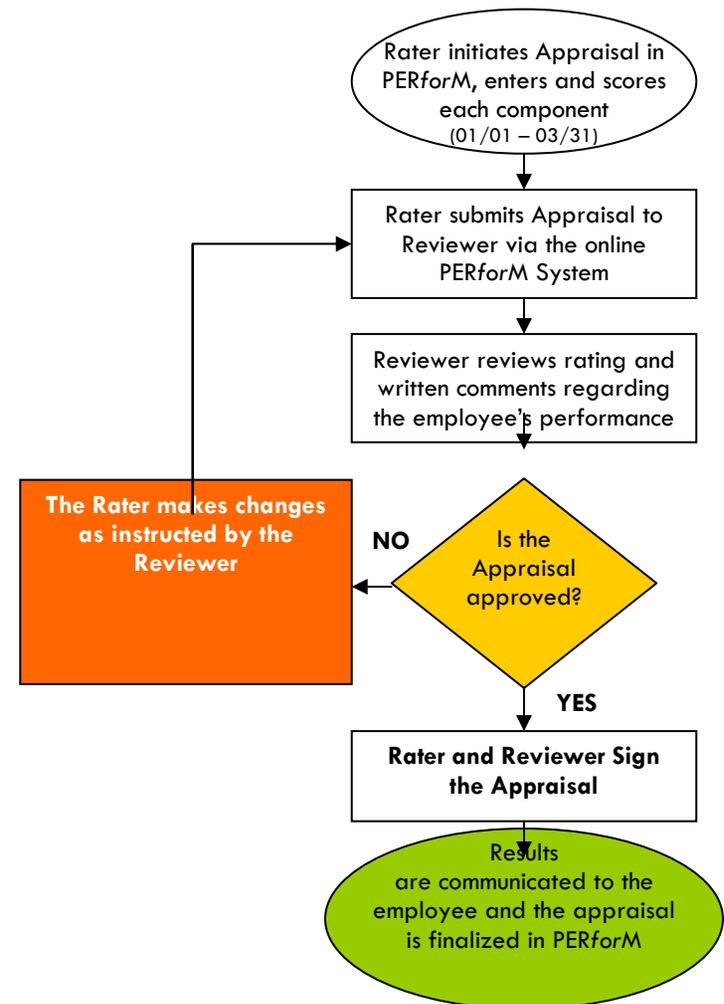
Next Level Approval (Communication between Rater and Reviewer)

Once the Rater has rated each component and prepared written comments for the employee in the PERforM system, the Rater will submit the appraisal to his or her immediate supervisor (Reviewer) for approval. The Reviewer will either approve the appraisal or disapprove the appraisal and recommend or require the Rater to adjust the appraisal and resubmit if for further review (as the Reviewer cannot physically make changes to the appraisal in PERforM).

Only after the appraisal is approved by the Reviewer can it be presented to the employee.

Once the employee, Rater and Reviewer have signed the appraisal, the Rater will finalize the appraisal in the PERforM system.

Appraisal Approval Process Flow



Employee Comments and Response

The employee should be given time to present any comments he or she feels appropriately address individual components or the overall performance rating and/or written comments included on his or her appraisal document.

If the employee would like to include a written response to the appraisal, the Rater may attach the employee's comments to the Appraisal.

Employees who believe the numerical score received for a component/s – or the overall rating received for the appraisal period – was not accurate may request that the score or rating be reviewed. This process should be conducted in a manner to resolve issues quickly and fairly.

Unless otherwise defined by the agency, this process should:

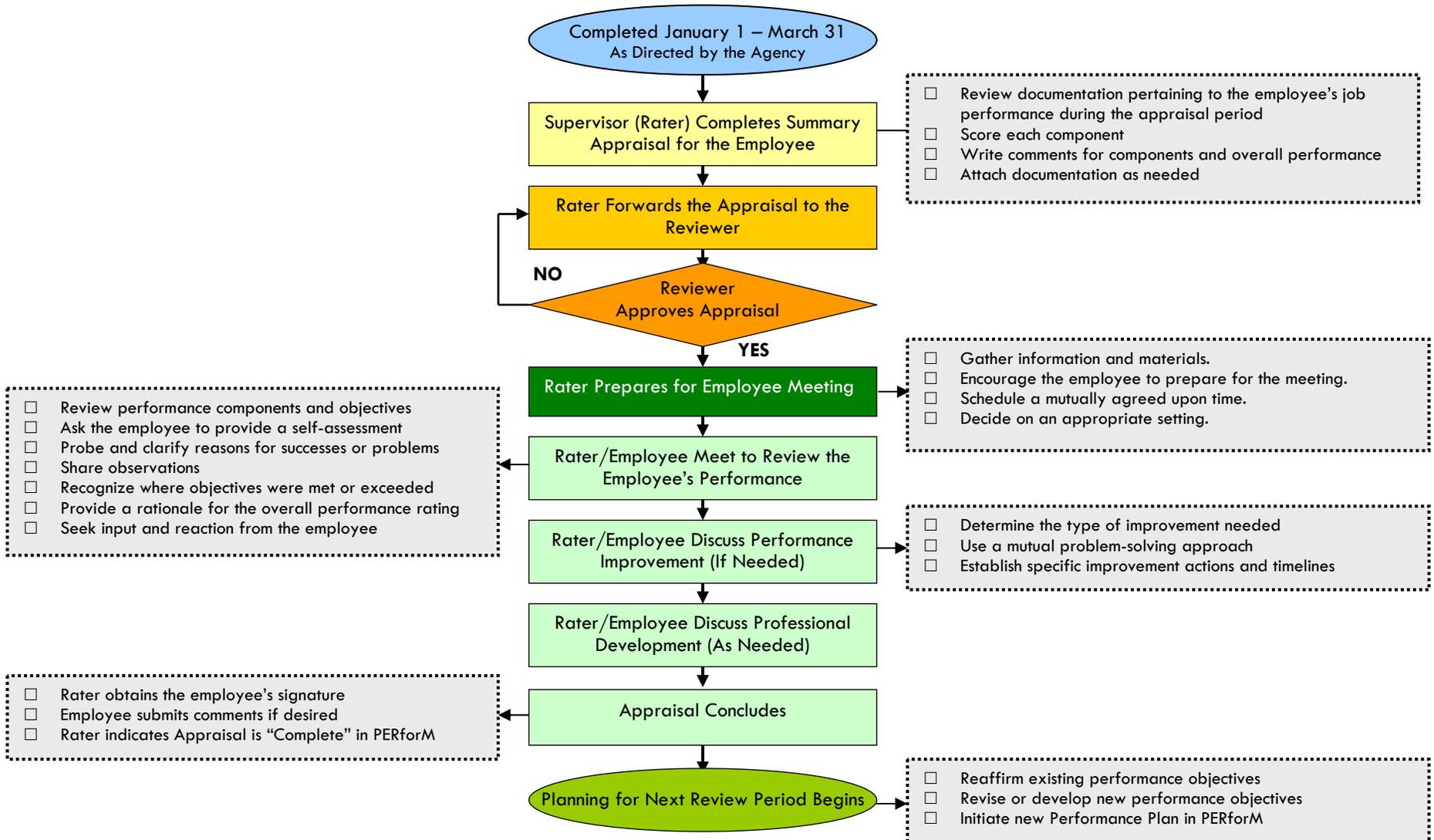
- Define who the employee's comments should be addressed to (Rater, Reviewer, or other designated individual).
- Allow the employee five (5) working days to respond in writing to the appropriate individual concerning the content of the rating or procedures used to determine the rating.

Information received from the employee will be reviewed and considered by the designated individual. If the employee's score or comments should be changed, the appraisal will be overturned and the Rater will make necessary changes in PERforM and resubmit the appraisal to the Reviewer for approval. A new appraisal document will be generated via PERforM, printed, signed and given to the employee.

If, after review of the employee's comments, the appraisal is upheld, the employee will receive a written response from the designated individual, which at a minimum will acknowledge the employee's concern and provide the final determination regarding the employee's rating. This documentation, along with the employee's response will be filed with the employee's appraisal as a permanent record.

Find more information regarding the PERforM screens and process associated with overturning appraisals at www.perform.mo.gov

The Annual Appraisal Rating Process



Creating An Employee Appraisal Using PERforM

Once the Rater is ready to create the employee's Appraisal, the process of doing so in PERforM is very similar to the process of creating a Performance Plan.

Initiating the Process:

From the Rater's Home Page, he or she can either select this function from the drop-down menu under "My Employees" or by using the link, "Create New Appraisals" under the Performance Appraisals (Ratings or Annual Rating Exemptions) heading. (Example H)

Selecting the Employee:

Once either link is selected, the Rater will be taken to a page displaying a list of the employees he or she supervises (Employee List – Performance Appraisal screen). From this list, the Rater will select the employee for whom he or she wishes to create an appraisal. (Example I)

Once the Rater selects (clicks) the employee's name, a window opens that provides the option to select the type of Appraisal the Rater wishes to create (Annual, Probationary or Special). The Rater will select the Appraisal type and click the "OK" button. (Example J)

The screenshot shows the PERforM Home Page. At the top, there is a navigation bar with links: Home, My Employees, My Reviews, System Administration, My Agency Admins, Proxy, Reports, and Online Help. Below this, there is a main menu with several options: Create New Appraisal, Develop / Update Performance Objectives, Search Appraisals, Update Incomplete Appraisals / Overturn Completed Appraisals, View All Complete Appraisals, View All Incomplete Appraisals, View All Objectives Pending Employee Review, View Complete Current Appraisals, and View My Current Employees. On the right side, there is a section titled "Performance Appraisals (Ratings and Annual Rating Exemptions)" with links: Create New Appraisal, Update Incomplete Appraisals / Overturn Completed Appraisals, View Current Complete and Exempt Appraisals, and View All Complete and Exempt Appraisals. Below this, there is a section for "Performance Plans (Objectives)" with a link: Develop / Update Performance Objectives.

The screenshot shows the "Employee List - Performance Appraisals" page. It includes a breadcrumb trail: Home Page > Select Employee - Performance Appraisals. Below the title, there is a note: "You are responsible for supervising and appraising the following employees. (Click on any column heading to sort data by that column in ascending order.) Click on an employee's name to create a new performance appraisal." Below this, it says "(14) total employees". A table lists two employees:

| Employee Name | Title Code | Job Title | Org Name | Supervisor | Annual Required |
|--------------------------------|------------|---------------------------|------------------------|------------|-----------------|
| BAKER, BUDDY A | 000165 | COMPUTER INFO TECH SPEC I | ITSD-OFFICE AUTOMATION | Yes | Yes |
| BUSCH, KURT | 000165 | COMPUTER INFO TECH SPEC I | ITSD-OFFICE AUTOMATION | No | Yes |

Below the table, it says "Example I".

The screenshot shows the "Select New Appraisal Type" window. It includes a breadcrumb trail: Home Page > Select Employee - Performance Appraisals > Select Appraisal Type. Below the title, there is a link: How to Evaluate and Rate Employee Performance Objectives. The window displays employee details: Employee Name: STEWART, TONY; Job Title: COMPUTER INFO TECH SPEC II; Organization: ITSD-SYSTEMS & PROGRAMMING; Supervisor: No. Below this, there is a dropdown menu for "Select New Appraisal Type" with "Annual" selected. At the bottom, there are "OK" and "Cancel" buttons, and a checkbox for "Enable Quick Scoring".

Creating An Employee Appraisal in PERforM

Entering Comments for Performance Components and Overall Job Performance

Once the Rater selects the Appraisal Type, he or she will arrive at the Create Performance Appraisal screen. (Example K)

The employee's performance objectives will be listed under each corresponding performance component. A comment field will be available to provide specific performance related comments for each component.

The supervisor can enter and edit comments for components and overall performance comments in the appropriate comment fields. Each field holds up to 1000 characters. To create a comment, the Rater simply positions his or her cursor in the comments field and begins typing. The text is saved in the field each time the Rater saves the Appraisal.

Written comments can be added, modified and deleted until the time the Appraisal has been approved by the Reviewer.

Raters must supply a written comment for each component receiving a score of either 1 or 10.

Learn more about each function and screen in the PERforM system at www.perform.mo.gov

The screenshot displays the 'Create New Appraisal' interface. At the top, it includes the system logo and navigation menu. The main content area is divided into several sections:

- Employee Details:** A table listing employee information:

| | | | |
|-----------------|----------------------------|---------------------|-----------------------------|
| Employee Name | STEWART, TONY | Job Title | COMPUTER INFO TECH SPEC II |
| Supervisor Name | WETCH, VANESSA | CIVS Description | UCP MERIT SYSTEM CLASSIFIED |
| Agency | OFFICE ADMINISTRATION-OPER | Percentage Fulltime | 1.0 |
| Organization | ITSD-SYSTEMS & PROGRAMMING | Months of Service | 115.0 months |
- Performance Appraisal Details:** A table showing appraisal parameters:

| | | | | | |
|------------------|--------|----------------|----------------------|----------------|---|
| Appraisal Type | Annual | Rating Period | 1/1/2007 - 5/31/2007 | Overall Score | - |
| Appraisal Status | New | Appraisal Date | 4/11/2007 1:49:29 PM | Overall Rating | - |
- Performance Components:** Two components are visible:
 - 1. Knowledge of Work:** Includes a rating scale (1-10) and a 'Performance Objectives' field. Below it is a 'Comments' text area.
 - 5. Dependability:** Includes a rating scale (1-10) and a 'Performance Objectives' field. Below it is a 'Comments' text area.
- Overall Comments:** A large text area at the bottom for general feedback.

The interface also features a 'Condensed View' section and a 'How to Evaluate and Rate Employee Performance Objectives' link.

Example K

Rating Performance Components Using PERforM

All components for each employee are rated (or scored) on the Create Performance Appraisal screen by selecting a value from 1-10 (1 being the lowest possible score and 10 being the highest). In Example L, a rating value of 5 has been selected for the Knowledge of Work component.

Once all components have been rated (or scored), the Rater can click the “Calculate” button to calculate the rating and populate the worded rating. When an appraisal is calculated, the overall score and overall rating are displayed at the top of the appraisal form as well as the bottom of the form. (Example M)

The overall score and overall rating fields do not retain their properties until the Appraisal is submitted. Consequently, the Rater can use this feature to determine the employee’s overall rating based upon different scoring combinations he or she may select for the components.

If necessary, the Rater can save the appraisal by clicking the “Save” button and work on it again at a later time. The Appraisal Status is set to “In Progress” when the appraisal has been saved. (Example N)

When the Rater has entered all comments for the employee and determined the employee’s appraisal rating, the Rater will click the “Submit” button at the bottom of the Create Performance Appraisal Screen to send the appraisal to the Reviewer for approval/disapproval. The Appraisal Status will now be set to “Pending.” (Example O)

If an employee is receiving an exemption from their annual rating, the Rater provides justification in the Overall Comments and uses the “Exempt & Submit” button to send the appraisal to the Reviewer.

The screenshots illustrate the workflow of the PERforM appraisal system:

- Example L:** Shows the '1. Knowledge of Work' component with a rating scale from 1 to 10. The number 5 is selected. Below the scale are text areas for 'Performance Objectives', 'Comments', and 'Overall Comments'.
- Example M:** Shows the 'Calculate' button highlighted. Below the buttons, the 'Appraisal Status' is 'In Progress', 'Overall Score' is 5.14443, and 'Overall Rating' is 'Successful'.
- Example N:** Shows the 'Save' button highlighted. Below the buttons, the 'Appraisal Status' is 'In Progress', 'Overall Score' is 4.14443, and 'Overall Rating' is 'Successful'. A red message states: 'Appraisal has been saved, it has not been submitted to the reviewer yet.'
- Example O:** Shows the 'Submit' button highlighted. Below the buttons, the 'Appraisal Status' is 'Pending', 'Overall Score' is 5.14443, and 'Overall Rating' is 'Successful'. A red message states: 'Appraisal has been Submitted to the reviewer for approval'.

Including Additional Performance Documentation in PERforM

The PERforM system allows Raters who wish to include specific performance documentation for their employees to add numerous files (documents).

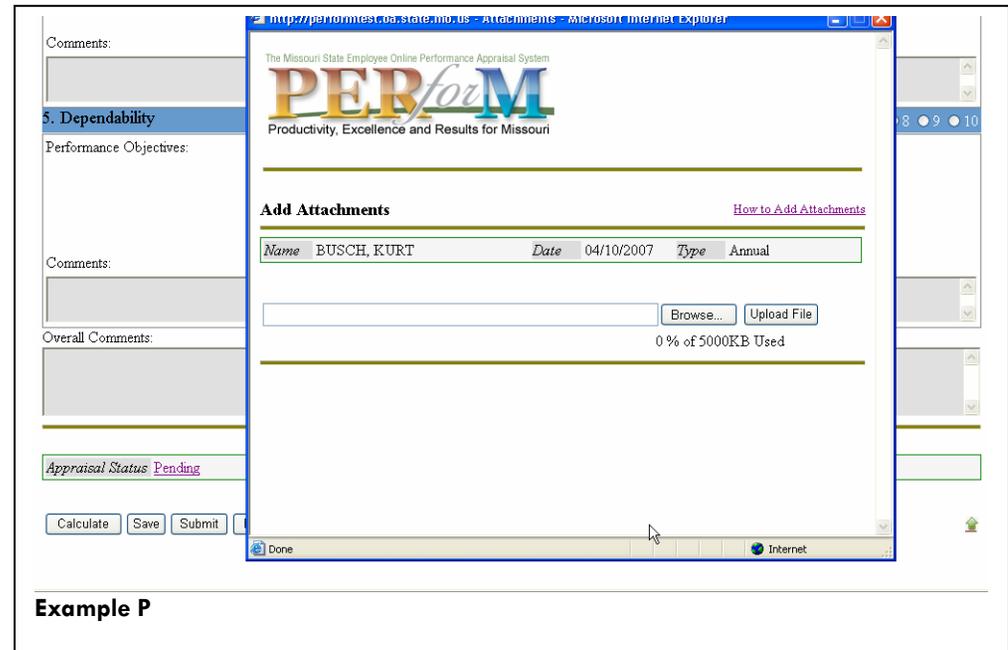
The list of acceptable file types will include: Microsoft Word, TIFF, JPEG, PDF, PDF/A and Excel.

This feature can be used once the Appraisal is in the "In Progress" status.

Raters can use this feature by clicking the "Attachment" button at the bottom of the Create Performance Appraisal Screen. (Example P)

Note: The attachment feature is available once the Appraisal is initiated and "Saved." It is not necessary to have any ratings or comments entered.

Learn more about the attachment feature and each function in PERforM at www.perform.mo.gov



Example P

Completing the Appraisal Process in PERforM

The Rater should print the approved Appraisal and obtain necessary signatures, and then present the Appraisal to the employee with any applicable documentation that supports the rating. The employee should sign the Appraisal at the time it is presented to indicate that the rating discussion occurred and that he or she was furnished with a copy of the Appraisal document.

To indicate the conclusion of the appraisal rating process in PERforM, the Rater must change the Appraisal status to "Complete."

To accomplish this, the Rater will click on the Update Incomplete Appraisals/ Overturn Completed Appraisals link on his or her Home Page to open the Select Appraisal screen (Example Q). The Rater will then click on the Edit link in front of the employee's name.

The Edit Performance Appraisal screen will open with the selected employee's appraisal. The Rater will scroll down to the bottom of the page and click the "Complete Appraisal" button. (Example R)

The Select Appraisal page now shows the employee's appraisal as "Complete." (Example S)

Learn more about each function and screen in the PERforM system at www.perform.mo.gov

Select Appraisal

The following are existing appraisals within current appraisal period (calendar year) that have not been completed (locked).
(7) appraisals

| Edit | Employee Name | Job Title | Organization | Supervisor | Type | Status | Date Modified |
|----------------------|------------------|---------------------------|------------------------|----------------|--------|-------------|---------------|
| Edit | BAKER, BUDDY A. | COMPUTER INFO TECH SPEC I | ITSD-OFFICE AUTOMATION | WETCH, VANESSA | Annual | Pending | 04/09/2007 |
| Edit | BUSCH, KURT | COMPUTER INFO TECH SPEC I | ITSD-OFFICE AUTOMATION | WETCH, VANESSA | Annual | Disapproved | 04/11/2007 |
| Edit | JARRETT, DALE P. | COMPUTER INFO TECH SPEC I | ITSD-STATE DATA CENTER | WETCH, VANESSA | Annual | Approved | 04/12/2007 |
| Edit | MAYFIELD, JEREMY | COMPUTER INFO TECH SPEC I | ITSD-STATE DATA CENTER | WETCH, VANESSA | Annual | Approved | 04/12/2007 |
| Edit | STEWART, TONY | COMPUTER INFO TECH | ITSD-SYSTEMS & | WETCH, VANESSA | Annual | Disapproved | 04/11/2007 |

Example Q

Edit Performance Appraisal

Employee Details

| | | | |
|-----------------|----------------------------|---------------------|---------------------------|
| Employee Name | MAYFIELD, JEREMY | Job Title | COMPUTER INFO TECH SPEC I |
| Supervisor Name | WETCH, VANESSA | CIVS Description | UCPY |
| Agency | OFFICE ADMINISTRATION-OPER | Percentage Fulltime | 0 |
| Organization | ITSD-STATE DATA CENTER | Months of Service | 142.0 |

Performance Appraisal Details

| | | | | | |
|------------------|----------|----------------|-------------------------|----------------|------------|
| Appraisal Type | Annual | Rating Period | 01/01/2007 - 05/31/2007 | Overall Score | 5.02 |
| Appraisal Status | Approved | Appraisal Date | 4/10/2007 3:38:51 PM | Overall Rating | Successful |

1. Knowledge of Work Rating 1 2 3 4 **5** 6 7 8 9 10

Performance Objectives:

Appraisal Status: **Complete** Overall Score: 5.02 Overall Rating: Successful

The appraisal has been completed and locked

Calculate Save Submit Exempt & Submit **Complete Appraisal** Overturn Appraisal Attachments Sticky Notes Print Preview

Example R

| | | | | | | | | |
|----------------------|------------|------------------|---------------------------|------------------------|----------------|--------|-------------|------------|
| Edit | NEW | P. | SPEC I | ITSD-STATE DATA CENTER | VANESSA | Annual | Approved | 04/12/2007 |
| Edit | | MAYFIELD, JEREMY | COMPUTER INFO TECH SPEC I | ITSD-STATE DATA CENTER | WETCH, VANESSA | Annual | Complete | 04/12/2007 |
| Edit | | STEWART, TONY | COMPUTER INFO TECH | ITSD-SYSTEMS & | WETCH, VANESSA | Annual | Disapproved | 04/11/2007 |

Example S

A D D E N D U M

Action Verbs

This list of action verbs can be used to assist Raters in writing performance objectives for employees.

Administer - Manage or direct the execution of affairs.

Adopt - Take up and practice on one's own.

Advise - Recommend a course of action; offer an informed opinion based on specialized knowledge.

Analyze - Separate into elements and critically examine.

Anticipate - Foresee and deal with in advance.

Appraise - Give an expert judgment of worth or merit.

Arrange - Make preparation for an event; put in proper order.

Assemble - Collect or gather together in a predetermined order from various sources.

Assign - Specify or designate tasks or duties to be performed by others.

Assume - Undertake; take for granted.

Assure - Give confidence; make certain of.

Authorize - Approve; empower through vested authority.

Calculate - Make a mathematical computation.

Circulate - Pass from person to person to place.

Clean - To remove dirt or make tidy.

Collaborate - Work jointly with; cooperate with others.

Collect - Gather

Compile - Put together information; collect from other documents.

Conduct - Carry on; direct the execution of.

Consolidate - Bring together.

Construct - Build, make or modify

Consult - Seek the advise of others.

Control - Measure, interpret, and evaluate actions for conformance with plans or desired results.

Coordinate - Regulate or combine the actions of others.

Correlate - Establish a reciprocal relationship.

Correspond - Communicate with.

Delegate - Empower another to perform tasks or duties that may carry specific degrees of accountability.

Deliver - Carry to intended designation.

Design - Conceive, create and execute according to plan.

Determine - Resolve; fix conclusively.

Develop - Disclose, discover, perfect or unfold a plan or idea.

Direct - Guide work operations through the establishment of objectives, policies, rules, practices, methods and standards.

Discuss - Exchange views for the purpose of arriving at a conclusion.

Dispose - Get rid of.

Disseminate - Spread or disperse information.

Distribute - Deliver to proper destinations.

Draft - Prepare papers or documents in a preliminary form.

Establish - Bring into existence.

Estimate - Forecast future requirements.

Evaluate - Determine or fix the value of.

Expedite - Accelerate the process or progress of.

Formulate - Develop or devise.

Furnish - Provide with what is needed; supply.

Implement - Carry out, execute a plan or program.

Improve - Make something better.

Initiate - Start or introduce.

Inspect - Critically examine for suitability.

Install - To set up or use.

Interpret - Explain something to others.

Investigate - Study through close examination and systemic inquiry.

Issue - Put forth or distribute officially.

Maintain - Keep in an existing state.

Monitor - Watch, observe, or check with an eye to reach agreement.

Notify - Make known to.

Operate - Perform an activity or series of activities.

Participate - Take part in.

Perform - Fulfill or carry out some action.

Plan - Devise or project the realization of a course of action.

Practice - Perform work repeatedly in order to gain proficiency.

Prepare - Make ready for a particular purpose.

Proceed - begin to carry out an action.

Process - Subject something to special treatment, handle in accordance with prescribed procedure.

Propose - Declare a plan or intention.

Provide - Supply what is needed; furnish.

Recommend - Advise or counsel a course of action; offer or suggest for adoption.

Repair - Fix or make usable.

Represent - Act in the place of or for.

Report - Give an account of; furnish information or data.

Research - Inquire into a specific matter from several approaches.

Review - Examine or re-examine.

Revise - Rework in order to correct or improve.

Schedule - Plan a timetable.

Secure - Gain possession of; make safe.

Select - Choose the best suited.

Specify - State precisely in detail or name explicitly.

Submit - Present for the discretion or judgment of others.

Supervise - Oversee, direct, inspect, or guide the work of others with responsibility for meeting standards of performance.

Train - Teach or guide others in order to bring up to a predetermined standard.

Verify - Confirm or establish authenticity; substantiate.

Write - To compose or edit.