

# PERforM GUIDELINES

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The Missouri State Employee Online Performance Appraisal System

**PERforM**

Productivity, Excellence and Results for Missouri



## Table of Contents

Section	Topic	Page #
Section 1	<a href="#">Introduction</a>	- 1 -
Section 2	<a href="#">Overview of the Performance Appraisal Process</a>	- 3 -
Section 3	<a href="#">Performance Appraisal Types</a>	- 5 -
Section 4	<a href="#">Employees Required to Have an Annual Performance Appraisal</a>	- 6 -
Section 5	<a href="#">Exemptions from Annual Appraisals</a>	- 7 -
Section 6	<a href="#">Performance Planning</a>	- 8 -
Section 7	<a href="#">Performance Updates and Documentation</a>	- 10 -
Section 8	<a href="#">Conducting Performance Appraisals</a>	- 11 -
Section 9	<a href="#">Employee Response</a>	- 12 -
Section 10	<a href="#">Annual Performance Appraisals</a>	- 13 -
Section 11	<a href="#">Appraisal Records</a>	- 14 -
Section 12	<a href="#">User Groups and Reporting</a>	- 14 -
Section 13	<a href="#">Appendix A</a>	- 15 -

## Introduction

Section 36.340, RSMo requires the Director of Personnel to, "...establish a system of service reports, which shall take into consideration, among other things, the employee's conduct, performance, and output. In such manner and with such weight as shall be provided in the regulations, ratings assigned to such service reports shall be considered in determining salary increases and decreases within the limits established by law and by the pay plan; as a factor in promotional examinations; as a factor in determining the order of layoff when forces must be reduced because of lack of work or funds, and the order in which names are to be placed on reinstatement registers; and as a means of discovering employees who should be demoted, transferred or dismissed. In such manner and at such time as the regulations may require, each appointing authority shall report to the director on the services of employees in their division. Any employee shall be given reasonable opportunity to inspect the records of the department which show the ratings assigned to his service reports."

RSMo, Section 36.510, Subsection 1(5), indicates it shall be the duty of the director to "Assist all state departments in setting productivity goals and in implementing a standard system of performance appraisals."

### **DRAFT RULE** 1 CSR 20-3.050 Service Reports

(1) Establishment and Use of Service Reports. In cooperation with appointing authorities, the director shall establish a system of service reports, herein after referred to as performance appraisals, which shall take into consideration, among other things, the employee's conduct, performance and output. As provided elsewhere in these rules, ratings assigned to performance appraisals [service reports] shall be considered in determining salary increases and decreases within the limits established by law and by the pay plan; as a factor in promotional examinations; as a factor in determining the order of layoff when forces must be reduced because of lack of work or funds, and the order in which names are to be placed on reinstatement registers; and as a means of identifying employees who should be demoted, transferred or dismissed (see section 36.040, RSMo).

(2) Administration of System. [Service reports] Performance appraisals shall be recorded in a statewide database [made in writing in a form] as determined by the director, after consultation with the appointing authorities. Each employee shall be provided with performance objectives and notified of his/her rating for each performance appraisal period. A rating document [report] will be presented to each employee so that the employee will know how his/her work is evaluated; to allow the employee to build on his/her strengths; to enable the employee to correct any weakness; and/or to allow the employee to respond in writing to his/her appraisal.

(3) Annual Performance Appraisals. Employees in the classified service and covered service who are employed on a continuous (permanent) basis and have at least 12 months of service shall receive an annual performance appraisal. The performance appraisal ratings shall be conducted annually during a timeframe as determined by the director, after consultation with appointing authorities. Performance ratings may be conducted more frequently, at the discretion of the appointing authority, except that no other appraisal shall replace the annual performance appraisal. Employees required to have an annual performance appraisal may be exempted due to reasonable circumstances based on criteria established by the appointing authority.

(4) Performance Components. The Director shall prescribe statewide performance components upon which all state employees will be rated. Each employee will be assigned specific performance objectives for each component by his or her immediate supervisor. Performance objectives shall be consistent with the goals and mission of the State, agency of service, division of service, and the specific requirements of the employee's position and shall reflect performance at a successful level. All employees will be rated on five (5) standard components as prescribed by the director. Supervisors will be rated on additional components, one of which will be an assessment on his or her effectiveness in administering performance appraisals. The rating, with respect for each component, will be calculated in a manner as established by the director to determine each employee's overall performance level.

This document provides detailed information for a standardized, automated system of performance appraisal, in accordance with the above statutory and regulatory requirements, that holds state employees accountable for continually reaching for the highest levels of performance regardless of their job functions. This automated system better enables state agencies to address distinctions in performance and implements consistent reporting.

## Overview of the Performance Appraisal Process

The primary goal of the performance appraisal system is to provide a standardized approach to evaluating the performance of state employees based upon objectives associated with each specific performance component.

The Division of Personnel, in conjunction with the Information Technology Services Division, created Productivity, Excellence, and Results for Missouri (PERforM) to facilitate the development of Annual Performance Appraisals, and the electronic storage and reporting of employee performance records.

Performance Appraisals are based on the following five (5) performance components\* for all employees:

- Knowledge of Work;
- Quality of Work;
- Situational Responsiveness;
- Initiative; and
- Dependability

In addition to the five (5) standard components, employees in supervisory and managerial positions are also rated on the following three (3) performance components\*:

- Performance Planning and Documentation;
- Leadership Skills; and
- Management Skills

Supervisors (Raters) provide employees with a written planning document containing performance objectives for each of the components at the beginning of every appraisal period. These objectives must be clearly communicated to the employee, and be attainable during the appraisal period.

The Rater appraises an employee's performance, with respect to the objectives, on a scale of 1 to 10 for each applicable component. A rating of 1 for any component indicates an employee failed to fulfill any of the objectives while a rating of 10 indicates an employee not only met the objectives, but did so in manner that significantly improved the efficiency and/or productivity of the organization. A rating given at the lowest end (1) or highest end (10) of the spectrum requires justification in the component's available comment field.

Based on an employee's combined rating for all of the components, he or she is assigned an overall performance rating level:

- Exceptional (Greater than or equal to 9.0)
- Outstanding (Greater than or equal to 7.0 but less than 9.0)
- Successful (Greater than or equal to 4.0 but less than 7.0)
- Needs Improvement (Less than 4.0)

\* A detailed description of each performance component can be found in the attached Appendix A.

Once the Rater is satisfied with the information included on the Performance Appraisal, it is submitted to his or her immediate supervisor (Reviewer) for approval. The Reviewer can approve the Appraisal or disapprove the Appraisal and recommend or provide any necessary changes to the Rater (as the Reviewer cannot physically make revisions to the Appraisal in the PERforM system). When the Appraisal is approved by the Reviewer, it is presented to the employee. After the employee, Rater, and Reviewer have signed the Appraisal, it is designated as "Complete" in PERforM by the Rater.

The employee is given an opportunity to submit a written statement describing why he or she agrees or disagrees with the ratings. If an employee refutes the Appraisal, a designated individual (Rater, Reviewer, higher-level manager, or other designee) reviews the rebuttal to determine if the rating should be overturned or upheld.

Overall performance ratings may be used as a factor in determining personnel decisions such as:

- Identifying developmental needs/opportunities for employees;
- Identifying employees for promotions;
- Eligibility for salary advancements;
- Order of layoff and/or reinstatement from layoff;
- Potential disciplinary action.

## Performance Appraisal Types

The PERforM system accommodates the following three (3) types of Performance Appraisals:

- Annual – Annual Performance Appraisals are required and are an official record of the employee's performance. They occur between January 1<sup>st</sup> and March 31<sup>st</sup> of each year in accordance with these guidelines. Annual Appraisals will aid in personnel decisions as described on page 4.
- Probationary – Probationary Performance Appraisals are optional in accordance with these guidelines, but may be required by other state or agency policies. They serve to indicate whether an employee's probation should end, be extended, or was unsuccessful.
- Special – Special Performance Appraisals are also optional in accordance with these guidelines, 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, the following:
  - Interim performance appraisal schedule (quarterly, biannual, etc.)
  - Completion of improvement plans
  - Change in supervisor
  - Lateral transfer
  - Leave of absence

For each employee, PERforM allows one (1) active Performance Appraisal of each type to exist per appointment. This allows a Rater to simultaneously maintain and rate objectives specific to each of the Annual, Probationary, and Special appraisal types. This same programming prevents the Rater from establishing multiple Performance Plans (objectives) for one particular appraisal type and serves to minimize any confusion the employee may have in determining which objectives he or she is expected to meet.

## **Employees Required to Have an Annual Performance Appraisal**

The criteria for determining who is required to have an Annual Appraisal is, any employee who:

- Has 12 months of state service by January 1<sup>st</sup>, based on SAM II-Human Resources (HR) System Leave Progression Start Date; and
- Is in a benefits eligible position as designated by the agency (Y in Field 8 of the PUD3 window within the SAM II-HR System).

Other employees may be directed by state policy or the Director of the Division of Personnel to receive an Annual Appraisal.

The regulations state that an employee who is on military leave should be restored to their former position without impairment of performance appraisal. Agencies should be cognizant of staff on military leave, and under no circumstances will an employee's military leave or service affect their performance appraisal rating.

Employees not mandated by the standards above may receive an Annual Appraisal at the discretion of the appointing authority, consistent with the policies of the agency.

Employees who meet the above criteria are required to have an Annual Performance Appraisal rating completed between January 1<sup>st</sup> and March 31<sup>st</sup> of each year, unless an exemption is made.



## **Exemptions from Annual Appraisals**

If insufficient information exists to determine the rating of the employee on all components, the employee may be exempted from an Annual Appraisal. In *PERforM*, the Rater provides an explanation for the exemption on the employee's Annual Appraisal (in the Overall Comments field) and submits it to the Reviewer. Once approved, the "Exempt" status is assigned to the Appraisal. To finalize the process, the exempted employee is notified that they will not receive an Annual Appraisal rating.

Exemptions must be done in accordance with all applicable state and agency policies. Individual agency policy should address standardized exemption criteria for the Annual Appraisal, such as leaves of absence or transfers/changes occurring within an agency (new division, work unit, or supervisor).

Where supervisors can collaborate within the agency, division, or work unit to rate the performance of an employee, the Annual Appraisal should occur.

An employee who transfers from one agency to another should have a minimum of six (6) months of service in the new agency to receive an Annual Appraisal. Employees with less than six (6) months of service in the new agency will be exempted from the Annual Appraisal unless special circumstances exist.

If the exempted employee is in probationary status, a Probationary Appraisal may be conducted for the employee at the conclusion of his/her probationary period. The purpose of the Probationary Appraisal is to provide observations of performance, and to communicate whether the employee has been successful in his/her assigned duties.

If an employee in regular status objects to being exempted from the Annual Appraisal, the Rater may conduct a Special Appraisal after sufficient knowledge of the employee's performance is obtained. The employee should be notified of the date his/her Special Appraisal will occur. Conducting Special Appraisals emphasizes the importance of the components and objectives to the employee, fosters communication with the employee, and provides a baseline for the next Annual Appraisal. The employee should understand that the Special Appraisal does not replace the Annual Appraisal.

An employee who is exempted from one Annual Appraisal will receive the next regularly scheduled Annual Appraisal, unless different circumstances evolve where the employee is again exempted.

## Performance Planning

The Performance Plan consists of a minimum of one (1) performance objective for each required performance component. The objectives are developed by the Rater in accordance with the guidelines outlined in Appendix A.

When developing objectives, Raters should consider the acronym SMART, in that the objectives should be, Specific, Measurable, Attainable, Realistic, and Time-based. The objectives 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. The Rater should also consider the information contained in the Position Description Form and the class specification associated with the employee's position.

Typically there are three (3) types of performance objectives: Routine, Project, and Developmental.

### Routine Objectives

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

### Project Objectives

Project objectives are based on specific assignments that have been accomplished or that meet a specified stage of completion during the appraisal period. These objectives usually change significantly or are replaced from one appraisal period to the next. In some cases, project objectives may evolve to become routine objectives in later appraisal periods after a project has surpassed 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 and employees should work together to determine if or when developmental objectives should be part of the employee's Performance Plan.

Performance objectives should be plainly stated. The objectives should be clearly communicated to the employee to ensure that he or she has a clear understanding of what is necessary to achieve or exceed a successful rating for each performance component. The Rater, Reviewer, and employee shall document this communication by signing the Performance Plan document.

A written Performance Plan should be presented to an employee within the first 30 days of appointment (new hire, transfer, promotion, etc.).

For each subsequent annual appraisal period, the employee is provided a new, signed copy of their Annual Performance Plan. This must be done even if there are no

changes to the employee's objectives. It is recommended that annual objectives for the new appraisal period be given to employees before or in conjunction with the review of Annual Appraisal ratings (for the previous appraisal period), but no later than March 31<sup>st</sup> of each year.

Performance objectives can be modified anytime during the appraisal period. A new Performance Plan document is printed and signed anytime changes are made to performance objectives.

When employment changes occur, objectives developed for an employee are transferred to his/her new Rater. Often, this will require the new Rater to revise the existing objectives to reflect new expectations.

## **Performance Updates and Documentation**

The Rater should monitor the performance and development of employees to see if established performance objectives accurately reflect the needs of the position and the employee. Revisions to objectives should be considered when: the employee's position title is reallocated; job duties have changed; the immediate supervisor (Rater) has changed; or the employee has exhibited undesirable conduct. Each time objectives are revised, a new Performance Plan document will be printed and signed by the Rater, Reviewer, and employee.

Revisions to performance objectives should be SMART, meaning Specific, Measurable, Attainable, Realistic, and Time-based. The objectives should focus on position-specific assignments, tasks, goals, or projects to be completed during the appraisal period and consistent with organizational goals and missions.

When changes occur to an employee's position title and/or job duties, the Rater should consider the information contained in the Position Description Form and the class specifications associated with the position when developing revised objectives.

To ensure employees have a clear understanding of what is expected of them, objectives are reviewed when there is a change in his or her immediate supervisor (Rater). If the new Rater has different expectations than those of the previous Rater, the new objectives are communicated in person with the employee and a new Performance Plan is printed and signed by the Rater, Reviewer, and employee.

The Rater's fair and balanced documentation of the employee's performance throughout the appraisal period will assist the Rater in accurately evaluating and scoring each of the employee's job components during the rating period. While written documentation can identify areas of concern or record an employee's developmental needs, it also serves to recognize and acknowledge specific employee accomplishments. To ensure the employee is consistently aware of how he or she is performing, the Rater and employee should discuss the Rater's observations about the employee's performance on a regular basis.

Observation and documentation of undesirable conduct exhibited by an employee can determine if a performance improvement plan (Special Performance Plan) is required to help the employee improve his or her job performance. Revised or new objectives established for a Special Performance Plan should address the employee's undesirable behavior and communicate the specific improvement the employee is required to achieve. However, the use or creation of a Special Performance Plan does not override the performance objectives established for the employee on the primary Annual Performance Plan which is used to conduct his or her annual performance rating.

## **Conducting Performance Appraisals**

The evaluation of an employee's performance is based on continuous observation, feedback, and documentation during the appraisal period.

Observations identify positive and/or negative changes in job performance, conduct, and work habits. The Rater should provide feedback to employees and record his or her response (understanding, agreement, and/or commitment) to the observations. This documentation assists in capturing the overall performance of the employee, rather than only current observations.

Appraisals should portray work performance rather than personal characteristics. Specific work-related conduct and behavior (undesirable and desirable) should be recorded. The Rater should address undesirable conduct by describing conditions in which an employee's behavior has affected performance and be specific about required improvement. The Rater should reinforce desirable conduct of employees by recognizing and praising positive behavior.

Once the Rater creates the Performance Appraisal with required ratings and/or comments, it is submitted to the Reviewer for approval. The Reviewer either approves the Appraisal or disapproves the Appraisal and recommends or provides any necessary changes to the Rater (as the Reviewer cannot physically make revisions to the Appraisal in the PERforM system). The final Appraisal is approved by the Reviewer before being communicated to the employee.

The approved and signed Performance Appraisal is presented to the employee with any applicable documentation that supports the ratings. The employee signs the Appraisal at the time it is presented to affirm the rating discussion occurred and a copy of his/her Performance Appraisal document was furnished to him/her. To indicate the conclusion of the performance appraisal rating processes, the Rater changes the Appraisal status to "Complete" in the system.

## **Employee Response**

If the employee disagrees with his or her Appraisal, the employee is allowed five (5) working days to respond in writing to a designated individual (Rater, Reviewer, higher-level manager, or other designee as defined by individual agency policy) concerning his or her Performance Appraisal.

If the employee's concern is valid, the designated individual responds to the employee in writing indicating that the Appraisal has been overturned and a revised Appraisal will be completed in the system to replace the original rating. The Rater uses the "Overturn Appraisal" button in *PERforM* to change the status of the Appraisal from "Complete" to "In Progress." The Rater re-evaluates the components and/or comments that were challenged by the employee, requiring the Appraisal to again flow through the appraisal process.

If upheld, the employee receives a written response from the designated individual which, at a minimum, acknowledges the employee's concern and provides the final determination stating the Appraisal was upheld. The notification documentation, along with the employee's rebuttal, is kept in hard copy with the employee's printed Appraisal as a permanent record. The Performance Appraisal in *PERforM* remains in "Complete" status.

For Annual Appraisals, the response process must be completed by March 31<sup>st</sup> of the current rating period. For all other appraisal types, the response process is completed within a reasonable timeframe as determined by individual agency policy.

Existing labor agreements or agency policy may provide for grievances of Performance Appraisals beyond the guidelines outlined above.

## **Annual Performance Appraisals**

The annual appraisal period corresponds with the calendar year, beginning January 1<sup>st</sup> and ending December 31<sup>st</sup>, with the associated rating period occurring between January 1<sup>st</sup> and March 31<sup>st</sup> of the following year. All employees who meet the requirements for an Annual Appraisal will be rated with the exception of individuals approved for exemption. The component ratings on an Annual Appraisal are based on the performance of the objectives appearing on the most recent Performance Plan document which has been signed by the employee, Rater, and Reviewer.

Employees approved for exemption, in accordance with all applicable state and agency policies, should receive an appraisal rating at a more opportune time to ensure that the employee has a clear understanding of his or her performance of established objectives. For more specific information concerning exemptions, please refer to pages 6 and 7.

The Reviewer conducts performance ratings when the Rater is on a leave of absence during the majority or all of the rating period. When the Reviewer is on a similar leave of absence, the same adjustment to the chain of command occurs. In effect, the Reviewer's immediate supervisor acts as the second approval in the performance appraisal process. If the Rater's or Reviewer's employment status is Leave of Absence, PERforM automatically adjusts the user role and/or employee list when this chain of command is necessary. In situations where the leave of absence is captured through the entry of leave events, updates to the PUD3 window in the SAM II-HR System are required.

Employment changes during the annual rating period (January 1<sup>st</sup> through March 31<sup>st</sup>) may affect Annual Appraisals. Appraisal responsibility, as well as employee-specific appraisal information, is based upon current records in the SAM II-HR System on a particular day.

If an employee changes positions and his/her Annual Appraisal is incomplete, the Rater who supervised him/her during the appraisal period is responsible for completing the Annual Appraisal. However, when the employee remains in the same position and the supervisor changes, incomplete Annual Appraisals will be reviewed by the new rater. The completion of the Annual Appraisal, including ratings or exemptions, should be consistent with policies of the agency.

The number of applicable components and the header information contained on the appraisal is driven by the employee and position records that are effective in the SAM II-HR System on the day the appraisal is created.

## **Appraisal Records**

Official Performance Plan documents and Performance Appraisal documents are kept in hard copy at the organization's Human Resource office. This information is also stored electronically, with status history being accessible in report form.

The retention of personnel files is governed by the State of Missouri, Records Retention and Disposition Schedule.



## User Groups and Reporting

The System Administrator Group includes designated individuals of the Division of Personnel. These individuals have access to information for all employees in the PERforM system.

The Agency Administrator Group includes individuals designated by an agency or an organization. These individuals have access to information for employees specific to their agency. Within their agency, the top level designees maintain appropriate users in their administrator group, maintain delegate raters, troubleshoot employee log-on problems (security--validating employees, PUD3 maintenance, etc.), search for appraisals, and have reporting capabilities. The access for the lower level designees is restricted to report utilization only.

The Rater/Reviewer Group consists of individuals with supervisory responsibilities. These individuals have access to information for specific employees under their authority.

The Delegate Rater Group includes individuals designated by an agency or an organization to perform data entry of Annual Performance Appraisal ratings or rating exemptions when normal processes of developing objectives, creating Appraisals, and/or approving Appraisals cannot be completed in the PERforM system by the Rater and/or Reviewer.

The Proxy Group includes individuals designated by an agency to perform limited appraisal status changes. These individuals act as substitutes for Reviewers or Raters, and have the ability to assign "Approved" or "Complete" status to appraisals for the purposes of continuing or completing the appraisal process when special circumstances exist. Access is limited and maintained by the System Administrators.

Standard reports are available in PERforM, with access being designated by the user's role(s) (security level).

For regular use, reports can be utilized to provide the appraisal history of an employee.

During the annual rating period (January 1<sup>st</sup> through March 31<sup>st</sup> following the appraisal period that concluded on December 31<sup>st</sup>), reports assist in monitoring the status of Performance Appraisals. They identify the number of Performance Appraisals that are:

- Missing – Required Annual Appraisals that have no information saved in PERforM.
- Incomplete
  - In Progress – Appraisals that have been saved but not submitted to the Reviewer.
  - Pending – Appraisals submitted but awaiting action (approval) by the Reviewer.

- Approved – Appraisals reviewed and approved by the Reviewer, but not marked as “complete” in PERforM to indicate that the rating was communicated to the employee.
- Disapproved – Appraisals reviewed and disapproved by the Reviewer.
- Complete – Appraisals that have been approved by the Reviewer, communicated with the employee, and marked as such in PERforM.
- Exempt – Approved Annual Appraisals that are equal in status to Complete, but contain an explanation for exemption (in the Overall Comments) rather than component ratings.

Throughout the rating period, ad hoc reporting can be utilized by agencies for an overview of current performance. Available reporting fields include a rating description for existing appraisals.

For appraisals in Pending, Approved, Disapproved, and Complete status, the description provides the overall rating category based on each employee’s overall score.

The rating descriptions for appraisals with an In Progress status do not reflect one of the overall rating categories. In this status, the information included on the appraisal is in a state of flux and is subject to change which makes the data unreliable. Therefore, an associated overall rating category is not reportable. Pending appraisals, i.e., submitted to the Reviewer, that are subsequently opened and saved again by the Rater revert to the status of In Progress. This, in turn, removes the appraisal from the list of appraisals pending approval by the Reviewer.

Exempt appraisals do not contain scores, so the rating description does not reflect an overall rating category.

On or after April 1<sup>st</sup>, when the rating period has concluded, the Division of Personnel and each applicable agency can review and analyze statistical reports to develop and supplement personnel-related recommendations regarding the performance of state employees.

## Appendix A Performance Rating Components

Rating Component	Description
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**The following five (5) standard rating components are included on all employee Performance Appraisals.**

**Knowledge of Work**

Addresses the employee’s technical knowledge of the required job functions performed as well as the general understanding of the policies, procedures and processes as they relate to the overall mission of the organization. This component addresses the employee’s ability to obtain new skills and further develop existing skills through attending and successfully completing optional or required training, as well as the employee’s ability and willingness to share knowledge with team members.

**Guidelines for Developing Performance Objectives:**

- Successfully completes formal training sessions or fulfills prescribed continuing education requirements.
- Trains other staff on policies and procedures or use of equipment.
- Obtains required certifications or licenses.
- Uses expertise to make a work process more efficient by reducing costs, reducing lead times and/or improving accuracy.
- Is aware of and uses available resources to find answers, solutions and ideas.

**Quality of Work**

Addresses the level of accuracy and proficiency with which the employee completes assigned work.

**Guidelines for Developing Performance Objectives:**

- Completes projects on time.
- Performs day-to-day activities as scheduled.
- Ensures work products (e.g. reports, registrations, inspections, etc.) are complete, accurate, timely and understandable.
- Reduces workplace injuries.
- Reduces incidents of client/resident/inmate abuse and neglect.
- Assesses the consequence of errors upon operations, reports, service delivery, etc.

**Situational Responsiveness**

*This is the broadest component and provides an opportunity to consider the employee’s ability to exhibit stability and consistency of performance under pressure, challenge, opposition, confrontation, heavy workload, criticism and changing priorities.*

Addresses the employee’s skills and abilities to respond to internal and external stakeholders; develop and maintain effective relationships; respond to inquiries and circumstances as necessary, as well as the employee’s ability to tolerate stressful situations, adapt to changes and remain alert and aware of his or her surroundings. This includes the employee’s proficiency and accuracy of written and verbal communication, as well as the employee’s ability to maintain the appropriate balance between tact and firmness.

Objectives for this component can vary depending on the mission and focus of the particular position. This component encompasses the performance related accomplishments/problems typically associated with the employee’s work attitude and demeanor that can be difficult to objectively evaluate on their own.

Rating Component	Description
	<p><b>Guidelines for Developing Performance Objectives:</b></p> <ul style="list-style-type: none"> <li>▪ Responds to/tracks customer complaints and concerns.</li> <li>▪ Provides effective customer service.</li> <li>▪ Maintains appointment schedules to reduce customer wait times.</li> <li>▪ Effectively communicates with family members of clients/residents/inmates.</li> <li>▪ Exhibits a willingness to work in teams.</li> <li>▪ Communicates openly and honestly with superiors, peers and subordinates.</li> <li>▪ Does not show bias or favoritism toward any groups or individuals.</li> <li>▪ Exhibits approachability toward staff and actively listens to new ideas.</li> <li>▪ Does not intentionally avoid needed negative or unpleasant interaction.</li> <li>▪ Understands the need for and values diversity in the workplace.</li> <li>▪ Maintains a professional attitude when receiving new assignments.</li> <li>▪ Remains calm and reasonable in tense situations.</li> <li>▪ Delivers negative feedback to subordinate staff in a constructive and private manner.</li> <li>▪ Is able to shift focus based on the priorities of the organization without negatively impacting the organization's mission.</li> <li>▪ Is willing to accept constructive feedback.</li> <li>▪ Participates, contributes and listens during meetings, presentations, training and other group discussions (includes not answering cell phones or holding side-bar discussions).</li> <li>▪ Is attuned to potential security breaches in a prison or psychiatric hospital.</li> <li>▪ Proactively addresses health and safety risks prior to injuries.</li> </ul>
<p><b>Initiative</b></p>	<p>Addresses the employee's ability and desire to actively seek out new solutions, tasks, opportunities or development that improve the organization's ability to accomplish its mission in a more effective and efficient manner, as well as improve the employee's value to the organization by furthering his or her own professional development.</p> <p><b>Guidelines for Developing Performance Objectives:</b></p> <ul style="list-style-type: none"> <li>▪ Seeks to assist team members and supervisors beyond the regular position requirements.</li> <li>▪ Looks for opportunities to improve processes that lead to reduced costs, reduced lead times and/or increased accuracy.</li> <li>▪ Acts independently without specific instruction, as appropriate.</li> <li>▪ Is results oriented, where applicable.</li> <li>▪ Notices problems and develops options for potential solutions.</li> </ul>
<p><b>Dependability</b></p>	<p>Addresses the employee's ability to complete assignments accurately and on-time, as well as the employee's ability to follow required procedures and guidelines. This area may also be used to assess the employee's attendance for attendance sensitive functions.</p> <p><b>Guidelines for Developing Performance Objectives:</b></p> <ul style="list-style-type: none"> <li>▪ Meets prescribed project deadlines as assigned.</li> <li>▪ Responds to inquiries (calls, emails, etc.) from stakeholders in a timely manner.</li> <li>▪ Arrives to work on time and minimizes unscheduled absences.</li> <li>▪ Schedules sick and annual leave responsibly.</li> <li>▪ Does not abuse sick leave.</li> </ul>

Rating Component	Description
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**The following three (3) rating components are only used in addition to the standard components for employees designated as supervisors or managers by an agency.**

**Performance Planning and Documentation**

Addresses the employee's ability to ensure adequate supervision of staff, primarily focusing on the accuracy and completion of the Performance Appraisals of subordinate staff.

**Guidelines for Developing Performance Objectives:**

- Completes Performance Appraisals of direct reports on-time.
- Ensures distribution of overall performance rating scores of all direct and indirect subordinates conforms to the guidelines as indicated by the statewide policy.
- Ensures all performance rating responses are resolved in the timeframe established by the Guidelines or agency-specific policy.
- Clearly outlines and communicates performance objectives to employees at the beginning of each appraisal period.

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**Leadership**

Addresses the employee's ability to effectively motivate, direct and enhance the performance of employees.

**Guidelines for Developing Performance Objectives:**

- Clearly communicates directions but allows staff to complete assigned work.
- Delegates effectively.
- Motivates direct reports, peers and other team members.
- Identifies and provides professional development opportunities for staff.
- Does not avoid necessary unpleasant discussions and actions.

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**Management Skills**

Addresses the employee's ability to oversee a process or project; the ability to organize, plan and strategize; exhibit judgment and independent discretion; and use resources effectively.

**Guidelines for Developing Performance Objectives:**

- Clearly assigns and identifies areas of responsibility for all staff.
  - Sets clear objectives and measures.
  - Monitors processes, progress and results.
  - Clearly sets and communicates priorities or organization.
  - Makes timely and consistent decisions that lead to favorable results.
  - Probes multiple sources to obtain answers.
  - Objectively evaluates data and information without allowing expected or desired outcomes to bias analysis.
  - Effectively manages time of self and all direct or indirect reports.
  - Avoids duplication or redundancies of work.
  - Regularly seeks opportunities to reduce operating costs without decreasing services.
  - Ensures staff is able to obtain necessary supplies, equipment and training to perform effectively.
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