GEORGIA PERFORMANCE MANAGEMENT PROCESS

MANAGER'S GUIDE

This Manager's Guide is designed to provide information to supervisors and managers about the key policies and procedures of the Georgia Performance Management Process (PMP).

When reading this Guide, managers should keep in mind that their agencies may have developed additional, agency-specific policies or procedures related to the Performance Management Process. If you are unsure, contact your Human Resources Office.

Note. The term manager in this guide refers to any employee who supervisors others and is responsible for their performance evaluation.

State law (45-20-21) requires that the State Personnel Board "provide for a performance management system for the periodic review and rating of the quality and quantity of work performed by employees. All agencies of the executive branch, exclusive of the Board of Regents of the University System of Georgia, shall provide for the review and rating of the quality and quantity of work performed by employees." The Performance Management Process and the forms described herein constitute a system that is used by most agencies to meet that requirement
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Georgia Performance Management Process - Overview

Performance Management Philosophy

Performance Management Philosophy

Management is an ongoing process of establishing clear expectations and providing ongoing feedback and coaching to ensure those expectations are achieved. Performance management is a partnership between the employee and his/her manager and should be focused on the ongoing communication between the employee and his/her manager.

Strategy
- Measure employee performance based on accomplishment of goals and demonstration of competencies that can impact State and Agency outcomes
- Develop a consistent core Statewide performance management process, system, and tools that are fair, simple and easy to use
- Hold managers and employees accountable for results delivered through active performance feedback and development opportunities
- Provide managers with the skills and tools necessary to differentiate performance and allocate compensation and development rewards appropriately based on performance, budget, and other relevant factors
- Educate both managers <u>and</u> employees on effective performance management

Value of Performance Management
- Drives **accountability** throughout the organization
- Ensures there is **alignment** between individuals' goals and objectives and their agency's goals and strategic plans
- Drives **clear expectations** with measurable, objective criteria
- Provides **opportunities for feedback** to employees
- Supports **individual development** planning to expand individuals' skill sets

Guiding Principles of Performance Management
- **People drive improved performance**, not forms. Focus is relationships and feedback
- Performance management is a **partnership** between the manager and the employee
- There should be **no surprises** at review time
- **Specific and objective feedback** is key
- All individual **performance goals should be linked** to those of the department or agency
- Performance should be evaluated on **what is to be accomplished** as well as **how it is to be accomplished**
- Performance should be carefully measured and documented to ensure **fairness and objectivity**

Components of Performance

Performance management assesses employees' strengths and areas for improvement that serve to further develop employees within the organization. To do this, performance management focuses on two main measures of success: "What" gets accomplished and "How" it gets accomplished.

"What" employees accomplish is measured against specific goals and job responsibilities. These include:
- Goals that are linked to the State's and the Agency's mission, vision, and goals
- Goals that are linked to specific job responsibilities
- Special projects and activities assigned to the individual
- Responsibilities specific to the job

"How" employees meet performance expectations is measured against competencies, which are those knowledge, skills, behaviors, attributes and other characteristics needed by employees to successfully achieve goals. These include:
- Core competencies required of all state employees
- Leadership competencies for people managers and other leaders
- Additional behavioral competencies that are important to successful performance

Individual Developmental Goals are objectives, projects, tasks, activities, training, and other opportunities that are set every year and focus on the continued development of employees, whether for their current role or a future role in the Agency or the State.

Systems Overview

Supporting Tools
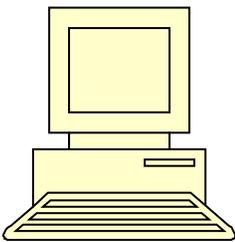
ePerformance System
The performance management process is supported by the PeopleSoft (PS) ePerformance System. The ePerformance System is a Web based self-service performance evaluation application for managers, employees, and human resources (HR) administrators. It is a tool used for planning, collaborating, communication, assessment and monitoring evaluations. Managers and employees access ePerformance through PeopleSoft Manager Self Service and Employee Self Service.

Forms
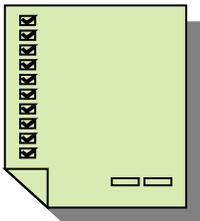
Resource Materials
Resources and information on different aspects of performance management can be found on the DOAS HRA Performance Management site for HR Administrators and on the Team Georgia Performance Management site for employees and managers. Some of the available resources include job aids for navigating the system and support for each phase of the Performance Management process.

Process Flow

The Agency HR Administrators are responsible for initiating the performance review process by communicating timelines and expectations throughout their agency and working with managers to ensure all Performance Documents are created in the system. After the documents are completed, the system is available to managers and employees for establishing the evaluation criteria, the performance evaluation, entry of feedback and the necessary approvals.

Understanding the Process Flow

There are 10 basic steps in the process flow. They are:

1. Communicate throughout agency regarding timeframe and expectations – HR Administrators
2. Create Performance Plans by Cloning – Manager
3. Create Performance Plans through Mass Creation Process – HR Administrators
4. Establish Evaluation Criteria – Planning Phase and Agreement – Manager and Employee
5. Complete Evaluation – Manager and Employee
6. Consolidate Feedback – Manager
7. Manager's Manager Approval – Manager's Manager
8. HR Administrator's Approval – HR Administrator
9. Conduct Performance Review Discussion– Manager and Employee
10. Acknowledge and Finalize Review – Manager and Employee

Process Flow

Role	Process
HR Admin By Agency	**Communicate throughout agency regarding timeframe and expectations**
Manager	**Create Performance Plans by Cloning**
HR Admin By Agency	**Create Performance Plans through Mass Creation Process**
Manager and Employee	**Establish Evaluation Criteria – Planning Phase and Agreement** → **Revise**
	Complete Evaluation Criteria (Planning Phase) Manager's Manager Approval may be required

Performance Planning

Coaching & Feedback Throughout the Performance Period

Role	Process
Manager and Employee	**Complete Employee Self-Evaluation** / **Complete Manager's Evaluation of Employee's Performance**
Manager	**Consolidate Feedback into Manager's Evaluation**
Manager's Manager	**Obtain Manager's Manager Approval**
HR Admin by Agency	**Obtain HR's Approval**
Manager and Employee	**Conduct Performance Review Discussion**
Manager and Employee	**Acknowledge and Finalize Review**

Performance Evaluation

Four Phases of Performance Management

Georgia Performance Management Process

- Competencies
- Goals
- Responsibilities
- Individual Development Plan

Performance Planning — Establish Desired Results

Performance Coaching — Create Desired Results

- Observation
- 2-Way Feedback
- Documentation
- Ongoing Development

- Flexibility
- Achievement
- Personal Growth
- Challenging Work

Performance Recognition — Acknowledge Results

Performance Evaluation — Measure Desired Results

- Review Documentation
- 5-Point Rating Scale
- Management Approval
- Bi-Annual Meetings

There are four phases to Georgia's Performance Management Process (PMP):

Performance Planning: The manager and the employee collaborate to develop a performance plan for the employee for the upcoming year. This consists of setting goals, identifying competencies and job responsibilities needed for success, and also includes an individual development plan (IDP).

Performance Coaching: Processes that help develop an employee to enhance competencies, skills, and knowledge and improve performance. Coaching also provides an opportunity to check progress towards goals.

Performance Evaluation: Performance is formally assessed against the agreed upon goals, competencies, and responsibilities. The manager reviews what has been accomplished and how it has been accomplished. Performance is formally evaluated at least two times during the year, a mid-year review and the annual review. Agencies and management may desire to have more frequent formal feedback and may opt to conduct additional quarterly reviews. Informal performance evaluation should be part of ongoing performance coaching.

Performance Recognition: Performance recognition includes any activities designed to acknowledge the results and value added by the employee. These can include the opportunity to take classes, work on a special project, broaden job responsibilities or monetary recognition, including raises and bonuses.

Remember: Performance Management is a process not an event

General Performance Management Process Timeline

Performance management is a year-round process, not a one-time event. Below is a broad time line illustrating various activities associated with the Georgia Performance Management Process. Each agency will provide specific due dates for activities. Most agencies use the ePerformance tool to support the process. Agencies without computer access may use another tool to accomplish each step, but the basic activities will remain the same.

Performance Management Process Timeline

	Planning Phase				Mid-Year Review		Annual Evaluation
	June	July	August	September – December	December – January	February – June	June - July
HR	Create Documents	Questions from managers & employees	Approve plans (if required by agency procedures)	Serve as agency SME	Mid-year evaluation (monitor, review, approve)	Serve as agency SME	Annual evaluation (monitor, review, approve)
	Monitor and update reports, To serve as SME to managers and employees						
Managers	Performance management training, begin thinking about goals	Collaborate with employee to develop performance plan; Create plan	Get plan approved (if required), Performance notes	Performance notes, work with employee on execution of plan	Mid-year review, meeting with employee, Conduct evaluation	Performance notes, work with employee on execution of plan	Review employee feedback, complete annual review, meet with employee
	Ongoing Coaching and Development						
Employees	Performance management training, think about goals	Collaborate with manager to develop plan	Begin plan execution, performance notes	Performance notes	Self-evaluation, meet with manager to discuss progress	Performance notes	Self-evaluation, review achievements with manager, meet with manager
	Execution of Performance Plan and Obtaining Feedback						

Phase I: Performance Planning

The purpose of performance planning is for the manager and the employee to collaborate and develop performance expectations for the employee for the upcoming year. This consists of setting individual goals that drive performance and align with the State and the Agency's mission, vision, and goals; and identifying key job responsibilities – this is "*what*" will be accomplished in the upcoming year. Setting expectations also involves identifying competencies which are attributes and behaviors that need to be demonstrated in order to achieve results – this is the "how" things get accomplished. The performance planning process also includes an individual development plan (IDP) which is used to help develop an employee in the current position or to broaden skills sets to develop for future positions or roles in the Agency or state.

While many factors play a part in successful employee performance, *planning,* as well as good manager-employee communication, is critical to success.

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Planning is a key part of the Georgia Performance Management Process

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For each fiscal year, the first part of the performance management process begins with the preparation of the employee's performance plan. The performance plan is a collaborative process between the manager and employee.

The performance management plan focuses on WHAT gets accomplished and HOW it gets accomplished.

Key Components of Performance Planning

- Identify Competencies
- Identify goals which align with State and Agency Goals
- Agree on Job Responsibilities
- Create an Individual Development Plan (IDP)

The Employee Performance Plan

The development of the employee's performance plan should be a collaborative effort between the employee and the manager.

An employee's performance plan details the goals, competencies, and job responsibilities (performance expectations) upon which the employee will be evaluated during the review period. It describes performance expectations for the incumbent in a particular position and should be tailored to fit the *employee* in the position. The performance plan is derived from several sources:

- Cascading down the strategic objectives of the State and the Agency into specific goals for the employee

- Competencies that are needed by the employee to successfully achieve objectives
- Projects and other activities for the position
- Responsibilities critical for success in the job or position

An employee will be evaluated on all three areas at the end of the year. In addition to these performance expectations, all employees should have an individual development plan that has developmental goals, projects, and activities aimed to further develop the employee, whether in the current position or training for a new position.

A performance plan should be prepared for an employee no later than 45 days from the date the employee is hired, transferred, promoted, or demoted.

Performance Expectations

All performance expectations need to be written at the "successful performer" level.

Elements of the Performance Plan

The ePerformance plan has four sections that cumulatively address what gets accomplished, how it gets accomplished, and the developmental goals for the employee. These four sections are:

1. Core/Individual Core Competencies

2. Individual Goals

3. Job Responsibilities

4. Individual Development Plan

The first three sections on the performance management form are rated in the performance evaluation. All employees are required to be evaluated on the statewide core competencies section. It is up to the agency and/or manager's discretion on whether to evaluate employees on additional behavioral competencies, individual goals, and/or job responsibilities. In other words, if an employee's work is mostly goal based, then they do not have to be evaluated on job responsibilities. The determination of whether to use one or both of these sections will depend, in part, on the Agency's perspective as well as the nature of the job.

Section Weighting

There are three sections on the State's Performance Management Plan on which employees can be evaluated: 1) Core/Individual Competencies, 2) Individual Goals, and 3) Job Responsibilities. Each of the sections is given a weight that assesses the relative importance of each section as it relates to overall performance. Guidelines for assigning weights may be agency specific or manager specific. The total weighting for the sections must total 100%.

The weighting should be determined based upon the importance of the section. For example, an employee has two goals that are the most critical for the position. The manager may thus want to give the most weight to the Individual Goals section, and less for the other two sections.

The weighting needs to be determined up front in the performance planning phase and communicated to the employee so that there are no surprises at the end of the review period.

Agency specific guidelines. Different agencies may handle the determination of weights differently. Some agencies may have set weightings for each section for all employees which are communicated by agency HR. Other agencies may leave it to an individual manager's discretion. If in doubt, contact your agency's HR office.

Employee Performance Plan			
	Section	**Required**	**Weighting**
Rated at end of performance period	Section 1: Core/Individual Competencies ■ **Core Competencies (all employees)** ■ **Leadership Competencies (people managers and other leaders)** ■ **Additional Behavioral Competencies**	Required	25% – 100% (minimum of 25%)
	Section 2: Individual Goals	Optional	0% - 75%
	Section 3: Job Responsibilities	Optional	0% - 75%
Not Rated	Section 4: Individual Development Plan		Not rated

Weighting guidelines:

The weights must total 100%.

- Section 1: Core/Individual Competencies: the minimum weight given to this section is 25%. A manager may not give it less weight than 25% but may give it a higher weight.

- Section 2: Individual Goals: A manager may give this a weight ranging from 0% to 75% of the performance evaluation (the default in the system is 50%).

- Section 3: Job Responsibilities: A manager may give this a weighting ranging from 0% to 75% of the performance evaluation (the default in the system is 25%).

- Section 4: Individual Development Plan: This section is not weighted as it isn't rated at the end of the year.

Example 1: An employee's main priorities for the job are reflected in 3 sections. Thus the weighting could look like:

Section 1: Core/Individual Competencies   25%
Section 2: Individual Goals   60%
Section 3: Job Responsibilities   15%
                                       Total   100%

Example 2: An employee's main priorities for the job are reflected in 2 sections. Thus the weighting could look like:

Section 1: Core/Individual Competencies   30%
Section 2: Individual Goals   70%
Section 3: Job Responsibilities   *not rated*
                                              Total   **100%**

A discussion on how the ratings are calculated is included in the Performance Evaluation Section.

Competencies Overview

Competencies are the knowledge, skills, abilities, attributes and other characteristics that contribute to successful job performance.

Competencies are very important as they are **HOW** things get done. An individual must possess certain levels of proficiency in various competencies in order to effectively achieve the goals and objectives that are necessary for successful job and organizational performance.

Behavioral competencies are observable and measurable behaviors, knowledge, skills, abilities, and other characteristics that contribute to individual success in the organization (e.g., teamwork and cooperation, communication).

Technical competencies are specific knowledge and skills needs to perform one's job effectively (e.g., knowledge of accounting principles, proficiency in Microsoft Word).

The state has a behavioral competency framework consisting of 18 competencies in three categories:

- Five statewide core competencies which are required by all state employees,
- Two leadership competencies which are required of all people managers and other leaders, and
- Eleven additional behavioral competencies

Statewide Core and Leadership Competencies		
Core Competencies		**Leadership Competencies**
■ Customer Service ■ Teamwork and Cooperation ■ Results Orientation	■ Accountability ■ Judgment and Decision Making	■ Talent Management ■ Transformers of Government
Additional Behavioral Competencies		
■ Communication ■ Conflict Management ■ Creativity and Innovation ■ Cultural Awareness	■ Flexibility ■ Initiative ■ Negotiation and Influence ■ Professional Development	■ Project Management ■ Teaching Others ■ Team Leadership

Key Characteristics of Behavioral Competencies in Performance Management
- Observable and measurable
- Relate to the core purpose and values of an organization
- Focus on the person in the position
- Contribute to improved employee performance
- Contribute to individual success within an organization
- Can apply to all (or most) jobs in an organization or be specific to a job family, career level, or position

How behavioral competencies contribute to successful performance management:

- Provide consistency in performance expectations and measurement
- Help identify which behaviors most impact performance and success
- Used in individual development plans to target gaps and identify development opportunities
- Help distinguish exceptional performers that contribute to organizational success
- Provide feedback to individuals to move them toward exemplary performance
- Drive organizational performance

Assessing People on Competencies

A person should be evaluated on a competency based upon the level of proficiency of the competency needed in the job. For example, "Judgment and Decision Making" would look different for a division director and an administrative assistant. People should be evaluated at the level required for their *current* position.

To assist in that process, a definition of each competency along with sample behavioral indicators of what a competency may look like for different levels of performance (as unsatisfactory performer, successful performer, and exceptional performer) are available. See the *Georgia PMP Competency Overview and Dictionary* on the Performance Management page located on the Team Georgia and DOAS HRA website.

Note. These behavioral indicators are only examples of some behaviors. The Agency and/or the manager may identify specific behaviors for the competency based upon the requirements of the job.

Section 1: Core/Individual Competencies

Section 1 of the performance plan focuses on competencies that are required of all state employees and leaders as well as additional behavioral competencies. This section focuses on **"HOW"** things get accomplished.

- The Statewide Core Competencies are preloaded into Section 1 and cannot be deleted.
- The Leadership Competencies are pre-populated in Section 1 for most managerial positions. However, for some jobs they may not automatically pre-populate. If they do not automatically pre-populate, then the manager should add them into Section 1 of the plan.
- The Leadership Competencies are required for all employees who have direct reports. They may also be added on an optional basis for development purposes for employees who are currently in a "lead worker" or "team leader" type role and wish to be considered for promotion into supervisory roles in the future.
- The 11 additional behavioral competencies can also be added in Section1 as appropriate.
- Weighting: The minimum weighting that can be given to Section 1 is 25%.

Statewide Core Competency Definitions
- **Customer Service:** Understands that all employees have customers, internal and external, that they provide services and information that honors all of the State's commitments to customers by providing helpful, courteous, accessible, responsive, and knowledgeable service.

- **Teamwork and Cooperation:** Cooperates with others to accomplish common goals; works with employees within and across his/her department to achieve shared goals; treats others with dignity and respect and maintains a friendly demeanor; values the contributions of others.

- **Results Orientation:** Consistently delivers required business results; sets and achieves achievable, yet aggressive goals; consistently complies with quality standards and meets deadlines; maintains focus on Agency and State goals.

- **Accountability:** Accepts full responsibility for self and contribution as a team member; displays honesty and truthfulness; confronts problems quickly; displays a strong commitment to organizational success and inspires others to commit to goals; demonstrates a commitment to delivering on his/her public duty and presenting oneself as a credible representative of the Agency and State to maintain the public's trust.

- **Judgment and Decision Making:** Analyzes problems by evaluating available information and resources; develops effective, viable solutions to problems which can help drive the effectiveness of the department and/or State of Georgia.

Leadership competencies required of all people managers and other leaders
- **Talent Management:** Clearly establishes and communicates goals and accountabilities; monitors and evaluates performance; provides effective feedback and coaching; identifies development needs and helps employees address them to achieve optimal performance and gain valuable skills that will translate into strong performance in future roles.

- **Transformers of Government:** Develops innovative approaches to address problems and drive continuous improvement in State programs and processes; drives effective and smooth change initiatives across the State by communicating, confirming understanding, and actively working with stakeholders to overcome resistance.

Additional Behavioral Competencies
In addition to the required competencies discussed in Section One, the State has identified 11 additional behavioral competencies that help drive success. Some jobs and positions may need to be evaluated on additional competencies depending upon the nature of the job. These can be determined by different levels in the organization, by the HR director, and by the manager. Only add those additional behavior competencies essential to the success of the employee in the position.

You may also identify different behavioral competencies where you feel an employee needs to develop. If this is the case, the best place to add these would be in the Individual Development Plan (IDP).

The 11 Additional Behavioral Competencies:

- **Communication:** Respectfully listens to others to gain a full understanding of issues; comprehends written material; presents information in a clear and concise manner orally and in writing to ensure others understand his/her ideas; appropriately adapts his/her message, style, and tone to accommodate a variety of audiences.

- **Conflict Management:** Addresses conflicts by focusing on the issues at hand to develop effective solutions when disputes or disagreements occur; helps others resolve conflicts by providing impartial mediation when needed.

- **Creativity and Innovation:** Applies creative problem-solving skills to his/her work to develop solutions to problems; recognizes and demonstrates the value in taking "smart" risks and learning from mistakes; develops multiple alternatives and understands the feasibility of each; effectively shares and implements his/her ideas.

- **Cultural Awareness:** Demonstrates an open-minded approach to understanding people regardless of their gender, age, race, national origin, religion, ethnicity, disability status, or other characteristics; treats all people fairly and consistently; effectively works with people from diverse backgrounds by treating them with dignity and respect.

- **Flexibility:** Adapts to change and different ways of doing things quickly and positively; does not shy away from addressing setbacks or ambiguity; deals effectively with a variety of people and situations; appropriately adapts one's thinking or approach as the situation changes.

- **Initiative:** Proactively identifies ways to contribute to the State's goals and mission; achieves results without needing reminders from others; identifies and takes action to address problems and opportunities.

- **Negotiation and Influence:** Effectively represents his/her position on issues to gain support and buy-in from others; generates multiple alternatives to a problem to meet the needs of other stakeholders; works to achieve win-win outcomes that others can accept; appropriately utilizes settlement strategies, such as compromise.

- **Professional Development:** Demonstrates a commitment to professional development by proactively seeking opportunities to learn new capabilities, skills, and knowledge; acquires the skills needed to continually enhance his/her contribution to the State and to his/her respective profession.

- **Project Management:** Effectively manages multiple projects by appropriately focusing attention on the critical few priorities; effectively creates and executes against project timelines based on priorities, resource availability, and other project requirements (i.e., budget); effectively evaluates planned approaches, determines feasibility, and makes adjustments when needed.

- **Teaching Others:** Enhances the capabilities of the organization by openly and effectively sharing his/her subject matter expertise with others; supports a continuous learning environment by preserving and compiling intellectual capital which can be used by others within his/her work group, department and State entities, as appropriate.

- **Team Leadership:** Effectively manages and guides group efforts; tracks team progress, adequately anticipates roadblocks, and changes course as needed to achieve team goals; provides appropriate feedback concerning group and individual performance, including areas for improvement.

Section 2: Individual Goals

This section taps into **"WHAT"** (individual goals) gets accomplished.

In the Goals section we discuss:
- Sources of Goals
- Writing goals
- Aligning cascading goals

Introduction to Goals

Goals are measurable outcomes or results. Goals should be written so that the individual can see how his or her goals are related to the agency's goals.

Goals are the heart of a good performance plan and should be written so you can identify:
- The result of the behavior being measured
- The measurement criteria
- The level of performance being described

All goals should be written and measured at the "successful performer" level.

Sources of Goals

- **State and Agency Goals:** These are goals that are aligned with the vision, mission, and goals of the State and the Agency. The goals are "cascaded" throughout the Agency and translated to be relevant to each level of the Agency.

- **Individual Goals.** Individual goals come from responsibilities specific to a position and can include special projects or activities that are assigned to the individual. Individual goals should be aligned to department and agency goals.

- **Job Responsibilities.** Goals can be written based upon specific job responsibilities that are the most important to the requirements of the position and the individual. This involves translating the job responsibility into a measurable goal.

- **Competencies.** Competencies describe "HOW" goals are accomplished – they are necessary in order to achieve a goal. Sometimes demonstration of the competency is in and of itself a goal. In this situation, specific performance expectations can be developed into a measurable goal. For example, for a call center, customer service is a top priority. By developing performance expectations that describe what exactly is expected in measurable terms to meet customer service goals.

Note. Character traits, personality tests, or other non work-related judgments should not be used in developing and evaluating goals.

Wherever the goal comes from, a linkage between individual and organizational success is needed.

Goal Alignment / Cascading Goals

The goal of the State and the Agency is to ensure Agency level goals are met. Individual success is critical for organizational success. Creating a linkage or "direct line of sight" between the individual's and the Agency's goal is important for success.

The purpose of cascading goals is to link individual performance expectations to the success of the organization. For some jobs, a direct linkage will be clear, for others, it may not be immediately clear.

Optimal Number of Goals

Generally, it is recommended that there are approximately five performance expectations (goals, additional competencies, or job responsibilities) for an employee across both this section and Section 3: Job Responsibilities.

Ultimately, it is up to the Agency and the managers to determine how many performance expectations are used in these sections of the plan. Remember that the number of performance expectations needs to be realistic and manageable by the employee. Often, a written goal will have inherent in its success several of the job responsibilities for the job. Having a laundry list of items makes it difficult for employees and managers to identify what is most important for successful job performance.

The objective is to keep the number of performance expectations manageable and realistic.

Writing Goals

Goals:
- ❑ Should focus on "what is performed" and on a result or specific outcome.
- ❑ Should be written in clear language.
- ❑ Should be written in the active voice and free of jargon, subjective terms, and confusing sentence constructions.
- ❑ The employee, the manager, and the manager's manager should be able to understand what is expected from the employee and how the employee's work will be evaluated.

Guidelines for Writing S.M.A.R.T. Goals

Goals should b e written using "SMART" criteria:

Specific

Measurable

Attainable

Relevant

Time-bound

Specific	What will be accomplished?
	The goal must state in clear terms what action, result or behavior will be demonstrated or achieved.
Measurable	How will you know if you have achieved the goal?
	The goal must include how much and/or how well that action, result, or behavior is to be demonstrated or achieved.
	If the goal is not measurable, you will have no way to know whether or not you have succeeded in reaching it. To be measurable, state the goal in action terms.
Attainable	Is it achievable?
	Goals should be challenging, but not burdensome or impossible to achieve. They must be attainable, but still provide a stretch.
Relevant	Is the goal important? Is it aligned with the agency's needs?
	Goals must be aligned with the agency's strategies and goals. Their accomplishment must make a difference.
Time-bound	When must it be done?
	Goals must state a limit or deadline by which the goal is to be achieved.

The **SMART** model of goal setting will ensure that the goals you and your manager establish are effective and meaningful, to you and your agency.

Example of a SMART Goal

Goal: On average, John will perform 12 engine tune-ups per month on state-owned vehicles following the steps in Technical Manual 001, Engine Tune-ups. John's progress will be reviewed toward this goal by reviewing the vehicle maintenance log on a quarterly basis, placing a particular emphasis on the review period on 3/31/09.

To determine if this goal is **SMART**, answer these questions:

- Is the goal **Specific?**
    - Yes, the goals specifies *WHAT* is to be accomplished (on average, perform 12 engine tune-ups per month on state-owned vehicles following the steps in the Technical Manual 001, Engine Tune-ups).

- Is the goal **Measurable?**
    - Yes, the goals explains *HOW MANY* and *WHEN* progress is to be measured (12 tune-ups per month; measured by a quarterly review of vehicle maintenance log).

- Is the goal **Attainable?**
    - Yes, based on experience, the number of tune-ups per months is reasonable.

- Is the goal **Relevant?**
    - Yes, the accomplishment of this goal supports the agency's goals and mission.

- Is the goal **Time-Bound?**
    - Yes, the goal specifies *WHEN* the results must be achieved (Review of progress on a quarterly basis).

Entering Goals in ePerformance

In the ePerformance system this section is free form and thus a manager can customize to adapt to the goals and to the manager's style.

Section 3: Job Responsibilities

Job responsibilities from the job description are automatically populated into the ePerformance Plan document. The purpose of this is to help the manager identify those areas that are most important to the employee's success in the position. Job responsibilities can, and should, be deleted from the performance plan as needed. There is an option available in ePerformance that allows you to delete all job responsibilities. You are also able to add responsibilities in this section, including free form items.

Identify the job responsibilities that are most important for success in a specific position. Even though employees may share a common job description, their most important responsibilities may differ from each other.

It is recommended that responsibilities be translated into goals so that they are measurable. Goals can be written based upon specific job responsibilities that are the most important to the requirements of the position and the individual.
- Responsibilities are not goals. In general terms, they identify activities or tasks that, if done correctly, lead to successful completion of the responsibility.
- When converting responsibilities to goals, the manager should identify the end result or behavior that should result by writing SMART goals.

Rating Scale

At the end of the review period, the manager will evaluate the employee's performance on all competencies, goals, and job responsibilities. All of these performance expectations will be evaluated using the same 5-point rating scale. This 5-point rating scale has been adopted in order to help better distinguish levels of performance among employees.

While the rating scale is not used until there is a formal review, the employee needs to know up front what his/her performance expectations are in order to be a successful performer as well as strive to be an exceptional performer.

The rating scale is below.

Label	Description
Exceptional Performer (5)	**Employee exceeded all performance expectations. Employee was an exceptional contributor to the success of his/her department and the State of Georgia. He/she demonstrated role model behaviors.**
Successful Performer-Plus (4)	**Employee met all and exceeded most (more than 50%) of the established performance expectations.**
Successful Performer (3)	**Employee met all performance expectations and may have exceeded some (less than 50%). Employee was a solid contributor to the success of his/her department and the State of Georgia.**
Successful Performer-Minus (2)	**Employee met most (more than 50%), but failed to meet some (less than 50%) performance expectations. Employee needs to further improve in one or more areas of expected job results or behavioral competencies.**
Unsatisfactory Performer (1)	**Employee did not meet all or most (more than 50%) of the established performance expectations. Employee needs significant improvement in critical areas of expected job results or behavioral competencies.**
Not Rated (N)	**New hire or transfer within five months of end of performance period**

Section 4: Individual Development Plan (IDP)

An Individual Development Plan (IDP) is an action plan created by the employee and the manager to identify goals, activities, projects, classes, assignments, and other activities that further contribute to the development of the employee.

All employees should have an IDP even though it is not rated at the end of the review period. It is critical that the State of Georgia continues to develop and retain an excellent workforce.

Individual Development Plans can focus on several areas:
- Development in current role
    - o This can apply to employees who are new in the job and need developmental activities to help them become a fully successful performer (activities to help with the learning curve for a new job).
    - o Employees who are deficient in their current role (not functioning at the level they need to be in order to be fully successful in their job) and need additional developmental activities to help move them towards better performance.
- Expand skill set and knowledge areas
    - o Employees who are fully successful in their current position who could benefit from some special assignments and activities to expand their skill set and move them towards exceptional performance in their current job.
- Prepare for future roles
    - o Developmental activities and goals that will develop an employee for future career opportunities in the Agency or the state. This can include activities such as training in new areas, stretch assignments, special projects, and inter- and intra-agency teams.

The Opportunity for Development

Development plans should be part of every employee's performance plan regardless of performance levels. However, it is recommended that a development plan be written for any area of the employee's responsibilities rated as "Unsuccessful Performer".

An employee's particular talents, strengths, and competencies are also productive areas for development. If an employee displays a high degree of competence in an area that is useful to the Agency, the development of that talent will prove advantageous to both the Agency and the employee.

Or you may be informed that the Agency, in order to meet certain change criteria, needs to develop new skills in certain employees.

Managers can plan for this change in work behavior or results by:
- Using a structured method to identify developmental needs and goals.
- Selecting an appropriate approach for the employee and the organization to reach the goal.
- Tracking the employee's progress both during and after the development program.

Development planning is not:

- Just for low performers

- A cure-all for improving the performance level of a poor performer.

- A substitute for disciplinary actions or dismissal. When an employee is unwilling or unable to meet performance expectations, it is necessary and appropriate to discipline and/or terminate the poor performer in accordance with agency policy.

Steps to Development Planning

Development focuses on two areas: needs and interests. Needs are areas employees need to further develop for use in their current role or future roles. Interests are areas where employees would like to develop and gain experience to help them prepare for future roles or to take on new challenges.

Step 1: Identify an employee's development needs.

- Employee's Strengths

    - What contributes to the employee's effectiveness?
    - What performance expectations did the employee recently "Meet" or "Exceed"?"
    - What successes has the employee had, and what do you and the employee view as contributing factors to those successes?

- Employee's Areas for Improvement

    - What blocked job effectiveness?
    - What, if any, factors affected his or her situation?
    - What isn't the employee doing that he or she should be doing, or could improve upon?
    - Has he or she ever done it?

- Organizational Needs

    - What are the present and future needs of the organization in terms of competencies, skills, changing work, and staffing?

    - What are the missions, goals and objectives of the organization? What competencies will be essential to the agency?

    - What changes are anticipated in the work (i.e., the particular job the employee now holds)? Has the content or context of the job changed? If so, how? What competencies will be needed for the employee to be prepared for the change?

Step 2: Identify the development goals.

- Identify and select one or two areas for development.

- Identify what measurement will be used to evaluate whether the competencies, skills or knowledge were acquired and set appropriate goals.

Step 3: Develop the action plan.

- Select the appropriate development method.

- Develop a time schedule.

- Assign responsibilities.

- Define measurements (indicators of success).

Step 4: Implement the plan.

- Conduct progress reviews.

- Evaluate what the employee did.

- Determine whether the desired results were achieved. If they were not achieved, reexamine how the needs were identified.

- Acknowledge successes or analyze failure.

Sources of Activities for Developing Employees

Method	Description
On-the-Job Experiences	New employee: Learning on the job through trial and error without intervention from others until problems occur or the employee asks for assistance. Current employees: On-the-job experiences to learn a new skill set. For example, working with another experienced employee on how to handle help desk calls.
Special Projects	Requires the employee to learn about a particular subject; may involve researching a problem or issue or developing a solution or recommendation for dealing with a special problem or issue.
Rotation Program	Short-term movement among jobs for a few minutes to a few months; employee goes from one job to another; broadens the individual's skills and experiences. Rotate employees over time to other organizations; build bridges between organizations; develops the individual, strengthens ties with external groups and furnishes the individual with knowledge and skills of value to the work group. An example is working for an organization to which your organization provides a service or product.
Field Trips	A journey taken as a learning experience or fact finding; exposes the employee to other sites in the organization to stimulate new insights and creativity; allows employee to view how others accomplish similar work.
E-learning	Various forms of computer-based training have recently grown in popularity and convenience. Training through CD-ROM, office intranet, or the world wide web is sometimes a good alternative to the more expensive forms of training. Webinars and webcasts are often free and can be found across many disciplines.
Alternatives to Classroom Training	Correspondence courses; job aids (simplified tools or instructions given to employees); decision aids (situation-specific instructions on what to do when certain circumstances exist); written text; videotapes; self-paced instructional material.
Inter- and Intra-Agency Teams	Cross-functional teams that work on a specific project or goals. Provides a chance to learn about other areas in the organization/state and to develop team and leadership skills.
Professional Conferences	Various programs that range from product exhibits to lectures on state-of-the-art services, equipment, and issues; used to update skills and knowledge; used to evoke new insights or perspectives or work approaches.
Classroom Training	New skills may be practiced in the safe learning environment of a classroom; techniques and applications are discussed with peers; course participants may analyze real or hypothetical situations as to what to do and how to do it; trained instructors with expertise in adult learning principles.
Informal Mentoring	A buddy program that pairs an experienced worker and an employee of lesser experience; the experienced employee takes the other employee under his or her wing; provides individualized learning where the less experienced employee may use the more experienced employee as a sounding board or coach.
Coaching	Systematically developing the skills and abilities of the employee by using actual work tasks to train the employee. Individual may have no or limited skills in the area. Approach may be used to enhance a top-performing employee.
Formal Mentoring	A sponsorship program that directly pairs a more experienced employee and a less experienced employee as chosen by the manager. Includes individualized learning where the less experienced employee may use the more experienced employee as a sounding board or coach.

Considerations:

- Cost and availability of the development approach.

- Applicability of the approach to the workplace.

- Appropriateness of the approach for the employee.

- Expertise of the individual responsible for the approach (mentoring, coaching, training, etc.).

- Availability of resources such as money, time, and manpower to implement the approach.

Sections of the PMP

SECTION	DESCRIPTION
Employee Information	Usually printed on the form before the manager receives it. If not, the manager can obtain this information from the HR office.
Rating Scale	Scale is identified from highest (5 – exceptional performer) to lowest (1 – unsatisfactory performer) for evaluating employees on all performance expectations
1. Core / Individual Competencies	*Core – required of all employees* There are five core competencies: 1) Customer Service, 2) Teamwork and Cooperation, 3) Results Orientation, 4) Accountability, and 5) Judgment and Decision Making. *Leadership – required of all people managers and other leaders* There are two types of leadership competencies: 1) Talent Management, and 2) Transformers of Government. **These should pre-populate into the performance plan. If not, they should be added to Section 1.** If necessary, identify additional predefined behavioral competencies upon which to evaluate the employee.
2. Individual Goals	**Manager must populate this section.** Write goals linked to alignment of goals or to specific individual goals.
3. Job Responsibilities	**This section is pre-populated in the ePerformance System**. The purpose of the pre-population is to assist the manager in identifying the most important responsibilities required for the job. Job responsibilities can be deleted from the plan individually. All job responsibilities can be deleted from this section – a Delete all button is available. Managers can add agency or team-specific responsibilities in this section. **This section will not automatically pre-populate for agencies who are not on the Statewide Compensation Plan.**
4. Individual Development Plan	**Manager must populate this section** based on information discussed and agreed upon during the performance-planning meeting.
Employee Approval	Employee approval or acknowledgement is required, as per Agency guidelines.
Manager / HR Approval	Manager/Manager, Department Head, and Human Resources approvals are required.

Roles in the Planning Process

HR
❑ HR establishes Agency specific criteria, guidelines, and timelines (e.g., which sections to use, what the weighting will look like, due dates, etc.).
❑ For ePerformance agencies, HR creates template documents for employees not created by managers using the cloning process.

Employee
❑ The employee identifies expectations and development objectives and activities that he or she would like to work on. The employee communicates those to his or her manager for review.

Manager
❑ The manager develops proposed goals and performance expectations for the upcoming year, using the goals of the Agency/division, responsibilities for the job, and input from the employee. The manager also identifies areas and objectives that he or she feels should be in the employee's IDP. Once complete, the manager and the employee can meet to discuss and collaborate on the plan. After this meeting, the manager makes any changes and sends to his or her manager for review. Depending upon your specific Agency guidelines, the manager's manager may need to approve the plan prior to the plan moving forward.

Manager's Manager
❑ The manager's manager reviews the plan and accepts or requires some changes.

Manager
❑ After the performance plan has been reviewed by the manager's manager, but <u>before</u> the final meeting with the employee for the planning discussion, the manager should give a copy of the draft of the performance plan to the employee and ask him or her to:
- Review the competencies, goals, and job responsibilities, along with all associated performance expectations.
- Write down any comments or questions about any part of the performance plan.
- Identify any known barriers to meeting established performance expectations or any information or assistance that will be needed from others in order to meet expectations.

Completing the Performance Criteria
For ePerformance agencies, the manager will complete all of the criteria in PeopleSoft ePerformance system.

The Manager's Manager Role
The manager's manager has multiple roles. He or she:
- Coaches and provides information and guidance to the manager to help the manager successfully perform his or her supervisory duties.
- Evaluates the employee's performance plan to ensure that it meets state and Agency guidelines and that it is in alignment with the overall goals of the work unit and the agency.
- Ensures that the performance plan requirements are comparable for employees in similar positions within the larger organizational structure. It is entirely appropriate for changes to be made in the performance plan before the manager meets with the employee to discuss the final performance plan.

The manager's manager is generally the manager's immediate supervisor. If the manager's manager position is vacant, then another manager may be designated by the Agency or organizational unit to review the performance plan.

Once the performance plan is complete and before making the proposed responsibilities and goals final with the employee the manager may send the plan to his or her manager for review and input.

Official Performance Planning Meeting

The manager and employee then have their formal performance planning meeting. If agreement is reached at this meeting, then acceptance of the plan can be acknowledged.

During the planning meeting, the manager should:

- Thoroughly discuss the performance expectations for each section of the performance plan.
- Identify and explain the actions and behaviors necessary to meet the expectations. The employee needs to know what successful performance looks like. The manager should also give examples of actions and behaviors that could lead to a rating of exceptional performer.
- Make sure the employee understands how performance will be measured.
- Review the method of tracking, monitoring, or observing that will be used for each performance expectation. This lets the employee know what is expected and enables the manager to evaluate performance based on these expectations.
- Discuss the activities, target dates, and how progress will be measured for the Individual Development Plan.

The manager is ultimately responsible for structuring a performance plan that will achieve individual and organizational objectives. All people managers are evaluated on the competency *Talent Management*; part of required success in this area is to effectively and appropriately manage performance of employees.

Changing the Plan during the Year

The employee's Performance Plan is meant to be a living document, not just a piece of paper filed away and forgotten about until next year's performance planning session. Any time a significant change occurs in an employee's responsibilities, expectations, or term and conditions of employment, the manager and the employee should meet to discuss these changes and modify the Performance Plan accordingly.

Note: It is not necessary to change the Performance Plan every time a minor task is added, deleted, or changed. If a change *is* made to the Performance Plan during the year, the manager should be sure to get the employee's feedback and approval.

Who Gets a Performance Plan?

All executive branch agencies are required to evaluate the work of employees under state law 45-20-21. Executive branch agencies are agencies managed by an appointed commissioner.

The *Performance Management Process* (PMP) requires managers to meet with each of their employees to plan performance for the upcoming period within 45 days of hire, transfer, promotion, or demotion, then annually at the beginning of each new performance year. Managers are required to conduct at least one formal performance planning meeting with each of their subordinates every 12 months. Some managers combine the performance evaluation for the past year with a discussion of the plan for the coming year. With this method, the meeting should be structured to *first* provide feedback on past performance, and then follow with a discussion of the employee's performance plan for the coming year.

Changing Positions during the Year

Clearly, creation of a performance plan is necessary when a person is newly hired into a state job. However, a new performance plan may also be required whenever an employee is promoted or changes from one position to another. If an employee's role has changed significantly, it may not make sense for the employee's performance plan to move with them.

When an employee is being promoted or transferred to a new position, the manager should make every effort to complete a performance evaluation on the employee before he or she leaves. The evaluation should be based on the employee's work while under the existing performance plan.

If an employee changes from one position to another in the same job/class and work unit without any major changes in responsibilities, the existing performance plan should be modified to reflect any changes. The year-end review would be completed by the employee's manager at that point in time with input from the previous manager.

Phase II: Performance Coaching

Performance management is not just a once-a-year evaluation and planning session. It is a year-round process in which the employee executes on the performance plan and the manager provides ongoing coaching and feedback.

It is always good management practice to acknowledge a good, solid job of meeting expectations. Encouragement of good performance is an underused element of coaching but can be very effective in keeping that performance good and solid. The need for encouragement is as great, if not greater, than the need for correcting deficiencies. When used with skill and sincerity it can prevent deficiencies from occurring.

Introduction to Coaching

Coaching occurs when a manager/supervisor provides feedback to an employee for the purpose of improving performance. It can be used when an employee is meeting expectations or it can be used when an employee is performing well but is capable of doing even more. Coaching can include providing people with direction, guiding them in how to master new skills, procedures, or tasks and helping them meet performance goals, etc.

Through coaching, managers free up their own time, improve their employee's performance and enhance the productivity of their department and agency.

Coaching is used for four general purposes:
- To begin an effective behavior
- To help employees correct deficiencies
- To encourage continued good performance
- To stretch performance to the next level

When meeting with an employee for coaching purposes:

1. Be clear on the reason for the coaching session: What are the goals? Is it to help the employee attain their career goals? Is it to help the employee perform better in their current role?

2. Get to know the person you are going to coach. The more you know about their vision, objectives, challenges, strengths, and weaknesses, the better able you will be to offer performance improvement ideas.

3. Coaching is not one-sided. It is a give-and-take sharing of ideas and information. Provide a structure overall, but then stand back. Answer questions or be a cheerleader, as needed.

4. Lead but don't give the answers; give direction. Try to provide information which the person can use to chart the next course of action.

5. Don't just ask, "Why?" Probe deeper. Instead ask "What got in your way and how can you deal with it next time?"

6. Avoid negatives such as "I don't think..." and "You shouldn't...,"Instead encourage and use phrases like "What if we tried to..." or "Maybe you could..." or "another option might be..."

7. Realize a coach never has all the answers. If you don't know the answer, admit it. Find the answer and provide it at the next coaching session.

8. Recognize progress, no matter how small. Rewarding small efforts inspires bigger efforts. Provide encouragement and support each step along the way, giving feedback to help build upon each success, no matter how small.

9. Give feedback at the end of each session. Make suggestions for improvement. Ask the employee to list two or three of the most important things he or she has learned. This will reinforce learning and help build the employee's satisfaction with the learning process. Ask for feedback on your coaching skills as well.

Giving and Receiving Feedback

Providing feedback to an employee is an important skill. Whether it is positive feedback designed to commend the employee for doing particularly well or corrective feedback designed to improve performance, it should be specific, individualized and delivered by the manager in person. There are two types of feedback approaches. How you give feedback will vary depending upon whether it is positive or corrective feedback.

1. Positive Feedback Approach – Used to maintain or encourage continued performance.

2. Corrective Feedback Approach – Used to address unsatisfactory performance (discuss deficiencies or when employees are not meeting expectations).

Giving Positive Feedback

Being paid on time is certainly a welcome sign of appreciation for the work that we do. But hearing that we have done a good job is even more important than the pay to keeping morale at a high level. Unfortunately, giving positive feedback to employees is not as urgent an issue for many managers as reminding them of their deficiencies. Giving positive feedback encourages the employee to strive for even better performance and is crucial for good manager-employee relationships.

Guidelines for Giving Positive Feedback

1. Recognize good performance when it happens

   When you catch someone "doing it right," let him or her know. Mention the positive performance immediately to the employee.

2. Be specific about what was good

   Telling the employee that he or she "did a good job" is not specific enough. Ensure that the employee understands how the expected level of performance was achieved so that repeat performance is possible.

3. Relate performance to goals

   Explain to the employee how his or her good performance relates to the goals of the work unit and the wider organization. Such discussions can add to the employee's feeling of self-worth. This is more important for new or inexperienced employees.

4. Offer public or private praise

   Giving praise in a public setting allows other employees to see that good performance is acknowledged. Realize, however, that some individuals do not like to be praised in public. It is helpful to ask individual employees how they like to be recognized.

5. Mean what you say

Provide honest feedback for specific achievements; never give positive feedback because "it's this employee's turn." Support the employee and demonstrate that you appreciate his or her efforts.

Positive Feedback Approach

1. Describe the behavior/result

2. Describe why the behavior is important

3. Obtain employee input

4. Encourage repeat performance

Script Demonstration of the Positive Feedback Approach

MANAGER: (Knocking on the door.) Hey, Sally. Do you have a minute?

EMPLOYEE: (seated) Sure, Ralph. What do you need?

MANAGER: I wanted to stop by and commend you for the fine job you did on the cost/benefit analysis on the Fulton Project. **[Step 1]**

EMPLOYEE: (Interrupting) That's OK, Ralph. A whole lot of other people gave me input on that job.

MANAGER: I know that. However, I also know it was your responsibility to bring it all together. You did that. And you did it faster than you were expected to do it. And you had Mary and Phil check your numbers -- and you still got it in way before deadline. That's a good quality job, Sally. **[Step 1 -- even more specific]**

EMPLOYEE: Thanks, Ralph.

MANAGER: No, thank you, Sally. Because of your getting that project in ahead of time, the Division Director can get a jump on the schedule. This will give the Commissioner more flexibility in the future. Your work affected a lot of people in a positive way. **[Step 2]**

EMPLOYEE: That's nice to hear, Ralph. I found it a challenging task, but I learned a lot from the experience. **[Step 3]**

MANAGER: It's my pleasure, Sally. Results like yours make my job enjoyable. Keep it up. And thanks again. **[Step 4]**

Giving Corrective Feedback

Giving corrective feedback to employees who are performing below expectations is an important part of a manager's job. Giving corrective feedback is extremely difficult, especially if it revolves around a sensitive issue.

How, where, and when that corrective feedback is given is also essential. Done correctly it can not only solve day-to-day problems in productivity, but it can help to prevent their recurrence.

- Corrective feedback should not be confused with disciplinary action or "adverse action" situations.
- Corrective feedback deals with performance errors, mistakes in judgment or minor rules violations.
- Corrective feedback is an attempt to help the employee solve poor performance or behavioral problems as quickly as possible.
- **Formal disciplinary steps should be taken only after corrective feedback fails to achieve the desired result.**

Guidelines for Giving Corrective Feedback

1. <u>Address problems as soon as possible</u>

   Deal with the issues. Don't let your silence send the wrong message.

2. <u>Be specific about what was unsatisfactory</u>

   It is just as important to be specific about the unsatisfactory performance as it is to be specific about the satisfactory performance. In addition, ensure that the employee understands why his or her performance is not meeting the expectations.

   Cite examples of how the employee's performance is not meeting expectations and provide examples of how to meet expectations.

3. <u>Use the opportunity to improve skills</u>

   Rather than being punitive, use the experience as an opportunity to help the employee improve his or her performance.

   Give the employee an opportunity to explain. Ask the employee to describe the facts and circumstances surrounding the situation, identify what caused the problem, and offer suggestions on how to fix the problem.

4. <u>Describe the effect on goals</u>

   Describe the impact of the unsatisfactory performance on the individual, the work unit or department, as applicable. Describe the results in very specific terms and give examples.

   Take the opportunity to restate the goals of the organization and the manner in which good performance ties into the grand scheme.

   Show the significance of the contributions and the benefits to others when the performance meets or exceeds expectations.

5. <u>Aim at commitment</u>

   Secure a commitment from the employee to do better and to work toward meeting the desired expectations. This is the surest way to make sure that the performance improves.

6. <u>Protect the employee's self-esteem</u>

The focus of corrective feedback is identifying and correcting unacceptable results or behaviors. It is not "fixing" the individual. Deal with what happened, how it happened and why it happened.

Avoid generalizations and name-calling.

Make effective use of "I" and "You" statements. In other words, do not repeatedly say to the employee, "You did that, and you did such and such, and you did whatever else." This continual use of "you" tends to lead to defensive reactions on the part of the employee.

Express confidence in the individual's ability to improve.

7. Avoid public correction

Conduct corrective feedback in private so that the employee is not embarrassed or loses face. Should you decide to provide corrective feedback in public, you may risk losing your credibility and the respect of other employees.

8. Recognize that when it's over, it's over

Do not keep reminding the employee of what was done poorly in the past. Instead, focus your attention on praising the individual's continued performance improvements. Such an approach will help demonstrate your confidence in the employee and can rebuild trust and support.

Corrective Feedback Approach

1. Describe what the employee is doing or not doing that is unacceptable
2. Describe the effects of the behavior/results
3. Ask for the employee's input (listen/probe)
4. Describe/restate the expectation
5. Ask for a solution; gain commitment
6. Follow up

Script Demonstration of the Corrective Feedback Approach

MANAGER: (Seated, when employee comes in.) Ann thanks for dropping by like I asked. I have a concern that I'd like to share with you.

EMPLOYEE: (Taking a seat.) Is there anything wrong, Joe?

MANAGER: Well, Ann, on three separate occasions this week, you've taken phone messages for other people and have transposed the numbers. **[Step 1]** Consequently, we've received complaints about slow service and support. **[Step 2]** Could you tell me what's happening?

EMPLOYEE: I couldn't have taken those messages. I take pride in my work. Someone else must have taken them.

MANAGER: (Showing the employee some examples of the errors.) [Step 1] Well, let me show you the messages. Is that your work?

EMPLOYEE: Yes.

MANAGER: You know, Ann, in the years you've worked here, you've provided consistently excellent work. And these three instances do concern me. Can you tell me what's happening? **[Step 3]**

EMPLOYEE: Well, earlier in the week the phones were very busy. And, in addition to that, I had a special project that I had to get out for Diane. So I must have gotten in a rush.

MANAGER: Yes, that's probably it. Do you remember why we placed such a high emphasis on having accurate numbers? We discussed it this year during our planning conference. **[Step 4]**

EMPLOYEE: Yes. The staff is often out of the building, and when they return, they need to call their customers and help them solve their problems.

MANAGER: Exactly. (Brief pause) Is there anything you can think of that you can do to help make your work more accurate? **[Step 3]**

EMPLOYEE: Well, I'm not sure.

MANAGER: Well, what were you doing previously, when you weren't making mistakes? **[Step 3]**

EMPLOYEE: (Thinking.) Well, usually I would read the number back to the customer to verify that it was correct. And I guess that no matter how busy I am, I need to do that all the time.

MANAGER: Good idea! So you think that if you always read back the numbers and the name of who is calling that you will have a better chance of verifying that you wrote the name and numbers correctly? **[Step 5]**

EMPLOYEE: Yes. I think I just must have been in too much of a hurry.

MANAGER: Good, Ann. And I'll check with you again in a week. **[Step 6]**

EMPLOYEE: It's fine.

MANAGER: Good. And thanks a lot for understanding how important this is. You're a very good employee and we need you to successfully meet our goals.

Responding to Negative Reactions

In all corrective feedback discussions, be sure to **explain the issue** in work-related terms and **listen to the employee's explanation.** There may be problems, facts or circumstances of which you are unaware.

When confronted with the need to correct their behavior, some employees may display a negative reaction. Below are some methods that will help keep the conversation productive. To guide all conversations of this kind, rely on:

- The **facts** of the unsatisfactory performance,
- The **expectations** expressed in the PMP,
- The **gap** between the expectations and the actual performance.

Suggestions for Handling Negative Reactions

Denying the validity of the information:
- Gather facts ahead of time.
- Organize and make notes so that you are sure of your information.
- Offer a copy of your documentation to the employee.
- Keep the discussion focused on the facts as you observed them.

Getting angry:
- Prepare yourself ahead of time to remain calm if the employee displays hostility.
- Do not allow the conference to become personal or to escalate out of control. Focus on the future.
- Acknowledge past errors only as examples.
- Assure the employee that you intend to help him or her to avoid errors in the future.

Attacking back
- Do not become defensive or try to argue the points that the employee is trying to make.
- You may offer to discuss those concerns separately, in another meeting if that seems reasonable.
- Focus on the expectations and the employee's documented work behavior.

Withdrawing from the situation
- Use a calm, reasoning approach.
- Dispel any threat the employee might feel.
- Reassure the employee that this conversation is not a disciplinary action.
- Present the facts and then use questions to provoke a response. Closed questions work best at first; then open-ended questions are more likely to elicit a response.

Making excuses
- Refer to your documentation of the employee's work behavior.
- Keep the facts of the substandard performance and the expectations in focus. Acknowledge real barriers and ask for a plan to eliminate them.
- Express confidence in the employee's ability to solve the problem.

Conducting Feedback Discussions

Questions to Consider

Use the following questions as guidelines in assessing your own performance when giving corrective feedback when you return to your work environment.

1. What did I say to clearly state the purpose of the discussion? How did I describe the poor performance that I observed?

2. Did the employee have adequate time to recount his or her version of the situation? If new information was determined, how did I adequately acknowledge it? How did I minimize excuses?

3. Did I actively listen to the employee? What about balancing listening and telling? What questions did I ask?

4. How was I forthcoming and open about the performance expectations?

5. Did I help the employee feel at ease and understand my concerns? What non-threatening language did I use?

6. How did I show that I understood what the employee had to say?

7. How did I take care to protect the employee's self-esteem?

8. Did I guide the discussion with facts?

9. Did I gain commitment from the employee? Did the two of us determine and agree on an action plan to improve performance? Did we reconfirm the expected level of performance? What did we do to accomplish this?

10. How did I express confidence in the employee? How do I think the employee felt after this discussion? Did I accomplish my purpose? Did we agree on a follow-up plan?

Development

The IDP is initially established during the performance planning phase. It is further developed and progress is monitored and communicated throughout the performance period. If during the Mid-Year Performance Evaluation or at any time during the year the manager sees an opportunity to further develop the strengths or improve the employee's abilities in any way, changes to the IDP can be made.

Approaches to Developing Employee Performance

Considerations:

- Cost and availability of the development approach.
- Applicability of the approach to the workplace.
- Appropriateness of the approach for the employee.
- Expertise of the individual responsible for the approach (mentoring, coaching, training, etc.).
- Availability of resources such as money, time, and manpower to implement the approach.

Problems like absenteeism, lateness or violation of rules or policies are generally met with either counseling or discipline and immediate compliance is expected.

Whatever the situation, the employee and the manager should agree upon the desired results and the requirements to create and implement an action plan on a realistic timetable. The approach or method of development, such as on-the-job experiences, classroom training, special projects, or attending webinars should be specifically selected by the manager and approved, if necessary, by the manager's manager or the HR office.`

Documentation of the development effort is essential. If the plan is written in the form of an individual responsibility, the normal observation, feedback, evaluation and rating will serve as documentation. If the plan is written on some other form, the manager should keep a record of the plan, the implementation procedure, the employee's progress and the outcome and results.

Coaching vs. Development	
COACHING	**DEVELOPMENT**
Short term "fix" for immediate result	Long term process for continuous improvement
Focused on a specific task	Associated with a broad talent or ability
Used to recognize good performance or correct deficiencies	Used to reward an employee and benefit the department
Often needed to meet expectations	Opportunity to build for future needs
Usually done on-the-job by manager	Often involves off-the-job training and learning opportunities or additional assignments

Documenting Performance

Observing performance and giving feedback are critical elements of coaching. Documenting what you observed and what actions you took is also critical. Both positive and corrective performance and subsequent actions should be documented. Managers should document performance throughout the performance period. Documenting performance provides information and reminders of what occurred throughout the entire review period. You need to be careful what you write as it could be used in any legal proceedings.

A separate file must be kept for each employee because employees must have access to their personal productivity file upon demand. No employee is allowed to see another employee's file.

A manager can keep performance notes for each employee in ePerformance. The employee does not have access to the manager's performance notes. Likewise, an employee can keep performance notes throughout the year to document his or her accomplishments and activities. The manager does not have access to the employee's performance notes.

 Methods of documentation include:

- ***Online or other record of performance.*** When an employee performs in a manner particularly noteworthy (good or bad), the manager can record the incident in the ePerformance system, using Performance Notes. The ePerformance system may also be used to note general observations on performance or any changes to the Performance Plan the manager and employee establish. These notes are very useful when the time comes to evaluate the employee at the end of the performance period. The employee can maintain a separate performance notes. The employee cannot see the manager's performance notes and vice versa.

- ***Preparing and maintaining individual file folders for each employee supervised.*** In substance, there is no difference between the ePerformance system (above) and a productivity file. To record performance observations, the manager simply writes a note and places it in the appropriate file. In addition, the employee can write notes or comments regarding special achievements or other performance-related occurrences for the manager to put in the file. Employee input is very valuable to the manager in preparing the year-end evaluation.

- ***Email files****.* Email is simple and quick to use for recording day-to-day performance. The manager establishes an electronic file for each employee and types in the appropriate entries during the year. Automatic time and date stamping make this an attractive and efficient manner of documenting performance. A copy of the entry can be easily sent to the employee. Caution must be used, however, when transmitting information to employees. It would not be wise to commit privileged or confidential personnel information to email. Such exchanges as discipline or corrective feedback should take place in a face-to-face forum. The summary of the discussion or the action plan can be sent via email, but the discussion itself should remain confidential.

Tips for Documenting Performance

To give the most complete picture possible, notes to the file or ePerformance System should include the date of the incident, the employee's name and position, a short description of the task and what was remarkable about it. It is also helpful to include a line or two about the significance of the employee's performance with regard to the unit's mission.

The method used to record the manager's observation is up to the manager as long as the appropriate confidentiality is observed.
- Whenever the manager observes a noteworthy incident of employee performance (good or bad), the manager should share his or her observation with the employee at the time.

- Observations can be shared with the employee either verbally or in writing.

Three Areas of Performance Documentation

There are three areas of performance documentation:

1. An employee's work results and behaviors using the performance expectations that were developed during the planning phase.
2. Any significant discussions related to an employee's performance. This may include discussions about positive performance and corrective feedback sessions.
3. Development plans initiated during the performance period.

An employee's file should contain notes generated by the manager or by the employee only, not by third parties.

Generated by the Manager
- The employee's strengths or areas for improvement in performing the job
- The employee's self-development initiatives and activities
- Progress made by an employee in coaching or development sessions
- The employee's cooperative efforts with others
- The employee's failure to complete tasks
- New ideas the employee suggests or implements to make the workflow more efficient
- Verbal or written complaints you have verified
- Compliments you have received about an employee. (Remember, third party reports, positive or negative, must be verified by documentation.)
- Self-evaluation given to you by the employee about his or her performance
- Records of adherence to and violations of terms and conditions of employment

Generated by the Employee
- Observations concerning the work or the working conditions
- Ideas and suggestions for improving performance
- Self-improvement initiatives
- Responses to the manager's documentation
- Progress in special assignments, delegations, or development plans

Characteristics of Useful Performance Documentation
- Provides specific examples. Describe exactly what happened and how the performance did not meet, met, or exceeded the expectation.

- Contains both good and poor examples of work performance. As managers, we tend to write the negative things and forget the positive.

- Avoids adjective qualifiers and drawing conclusions. This means don't write "Joe did a good job." or "Joe did a poor job." Instead, describe what Joe did and relate it to the expectations that you and Joe agreed on at the beginning of the performance period. Remember: Avoid "fuzzy" language.

- Reflects only job-related performance. In a majority of situations, what employees do on their own time doesn't need to be documented in your files. Keep files only for job-related documentation.

- Reflects direct observations and conversations. Hearsay should not be documented. Once validated, however, compliments or complaints from third parties can be included.

- Is consistent and complete. The amount of documentation you keep on employees should be the same for all employees. If you keep documentation only on the employee you're trying to terminate, it will look like you targeted that person.

- Is accurate. You may receive information from sources other than your direct observation. It is important to verify the reliability of this information. The more negative the information is, the more it should be corroborated. The validity of the information should be checked when you receive it and brought to the employee's attention during routine coaching sessions. Remember, there should be no surprises at the end of the review period.

Content of Documentation

Facts are the major components of useful documentation. Facts can be verified and are unarguable. Some examples of factual statements are:

- Four documents were due on April 5, 2008 at 4 PM. Three documents were finished on time.
- A customer complaint was received on January 12, 2008.
- Performance notes shows that Ben Miller spent three hours on patient in-take forms on three occasions: August 5, November 3, and December 12 of 2007.
- On April 8, 2008, Fred James reported to me that on April 7, 2008 Mike Merriman said to him: "If you don't get off my back I'm going to wind up hurting somebody."

Don't record anything as fact unless you observed it yourself.

Dates are an important form of fact. If an event is not placed in time, there is always a degree of uncertainty as to whether or not it happened. In any subsequent investigation of serious charges, dates will be essential in recalling to witnesses what event is being questioned. The date that the documentation was written is also important.

Names of the parties involved are essential. Be sure that they are complete. People often share first names or last names. It helps to record the full name of anyone involved whether the person is the subject of the documentation or a witness.

The incident should be described in full using behavioral, work-related terms. The description should relate how the incident took place with all events in proper order.

Opinions, yours or those of others, have no place in the documentation of an incident. An opinion is a form of conclusion and is properly a part of the results of investigation. Only after you have satisfied yourself that you have all of the facts recorded should your opinion be expressed.

Distribution of feedback documentation should be a part of the process. Coaching feedback is not disciplinary and should be confidential only to prevent embarrassment. Giving the employee a copy of any original documentation and a summary of the subsequent conversation (feedback) goes a long way toward demonstrating your efforts to be fair.

NOTE: The Performance Management Form (PMF) is a reporting instrument. It is used to transmit a summary of the original documentation as well as any conclusions by the manager or reviewing manager to all parties concerned. It serves as documentation that the employee's performance was properly observed, evaluated and rewarded.

Documentation written at the time of performance or specific incident remains separate from this form and should be preserved as it is even after the summaries are concluded and sent forward. In the event that the employee's performance or involvement in an incident is questioned or investigated for any reason, the original documentation may be needed.

Phase III: Performance Evaluation

Two Types of Performance Evaluations

There are two types of formal performance evaluations: interim (quarterly, midyear) progress reviews and the annual performance evaluation. While the process for evaluating the employee is the same for both, they serve different purposes:

- Annual (End-of-Year) Performance Evaluation – This is the formal performance evaluation that determines an employee's performance ratings for the year. These go on the employee's permanent record

- Interim (Mid-year, Quarterly) Performance Evaluation – These are formal discussions where ratings are given on all the performance expectations in the performance plan. This is status check and will not be a final rating or go into the employee's formal personnel file.

Annual (End-of-Year) Performance Evaluations

At the end of the review period an individual's performance is formally assessed against the agreed-upon goals, competencies, and responsibilities. The manager reviews what has been accomplished and how it has been accomplished. The employee is formally rated on up to three sections: core/individual competencies, individual goals, and job responsibilities.

The individual development plan, section 4, is not rated or included in the overall performance rating. However, the manager will also assess the employee against achievement of developmental goals and objectives. Even though this section is not rated, it is still important to the development of the individual and of the state workforce.

This stage of the process focuses on:

- Results / Fulfillment of performance expectations
- Goal Achievement
- Competencies
- Key tasks or Activities
- Major Achievements
- Individual Development Plan

Interim (Mid-Year, Quarterly) Performance Evaluations

Although frequent informal feedback and communication between the manager and the employee is important the manager should hold one documented, formal session about midway through the performance period with each employee. Most agencies have one formal meeting, the Mid-Year Performance Evaluation, halfway through the performance period. Agencies may choose to have more frequent feedback sessions, such as quarterly evaluations.

In the review, the manager should let the employee know how his or her performance is measuring up to performance expectations including progress towards goals, demonstration of necessary competencies for the job, and execution of job responsibilities.

Managers should consult with their Agency Human Resources Office to determine the frequency of formal review sessions.

Note. The review (mid-year, quarterly, etc.) is documented on the performance management form (PMF), and must be based upon the employee's *current* performance management plan.

Two main reasons for Conducting a Mid-Year or Quarterly Evaluation:

- Provides the employee a progress report that covers all areas of performance
- Gives the manager an opportunity to discuss with the employee any problem areas while there is still time to improve.

By the end of the discussion, both the manager and employee should have determined a course of action and a plan should be documented.

The manager should carefully review the employee's Performance Plan and all the performance documentation that has accumulated in the ePerformance system or other electronic or paper-based files documenting performance. The manager then completes the Performance Management Form (PMF) noting particularly any problem areas or significant accomplishments. When this is done the manager schedules a meeting with the employee.

Naturally, the manager should be sure to highlight any instances or areas of outstanding or deficient performance. Some other topics and activities that may be appropriate for the discussion include:

- Reviewing the established performance expectations to ensure that they are accurate and up to date.
- Changing the emphasis or relative importance of the responsibilities because of new assignments or projects.
- Modifying performance expectations because of new organizational standards.
- Identifying barriers that may be preventing the employee from meeting expectations.
- Developing specific actions to be taken by the employee or the manager before the end of the performance period, so that the employee can meet or exceed expectations.

By the end of the discussion, both manager and employee should have determined a course of action for ensuring improvement in any problem areas, and the plans should be documented on the performance plan.

Performance Evaluation Process Steps

1. The employee completes a self-evaluation, which is then sent to the manager.

2. The manager completes the performance evaluation by measuring employee performance against expectations. The employee self-evaluation and any performance notes should be used as input into the manager's evaluation.

3. The manager submits the performance evaluation to his/her manager for approval.

4. The manager's manager either approves the document or requires changes and sends it back to the manager to make the necessary changes.

5. Once the manager's manager approves the evaluation, it is submitted to HR for approval. HR will either approve the performance evaluation or indicate required changes. Changes are made and sent back to HR for approval.

6. Once HR approves the evaluation the manager conducts a performance evaluation meeting discussion the employee.

7. In the ePerformance System, the manager changes document status to "Available for Review" and "Review Held".

8. In the ePerforrmance System, the employee "acknowledges" the review was held.

9. Manager completes/closes out the performance evaluation which moves the document to history.

Employee Self-Evaluation

The employee should conduct a self-evaluation rating him or herself against all of the performance expectations. This is the employee's assessment of his or her performance in the past year. This is then sent to the manager. The self-evaluation can provide valuable input and information that the manager can use when writing the employee's evaluation.

Manager's Evaluation
Information and Steps to Prepare for the Writing the Evaluation

In order to evaluate the employee fairly and accurately, it is important that his or her performance for the entire year is evaluated. Most people cannot remember all that happened over the course of a year, so supporting information is a key element in order to evaluate effectively.

Gather all relevant data and documentation on the employee's performance over the performance period under review. The information might include:

- Notes and information from performance documentation kept throughout the year
- Changes made to the responsibilities or goals during the period
- Assignments outside those on the performance plan that could have affected achievement towards goals
- Notes from the mid-year or quarterly performance evaluations
- Notes on specific performance achievements
- Notes on specific performance problems
- Email file
- The employee's self-evaluation

Rating Scale

At the end of the review period, the manager will evaluate the employee's performance expectations, including competencies, goals, and job responsibilities. All of these performance expectations will be evaluated using the same five-point rating scale. A five-point rating scale has been adopted in order to help better distinguish levels of performance among employees.

It is critical that the manager understands how to use the rating scale, listed below.

Label	Description
Exceptional Performer	Employee exceeded all performance expectations. Employee was an exceptional contributor to the success of his/her department and the State of Georgia. He/she demonstrated role model behaviors.
Successful Performer-Plus	Employee met all and exceeded most (more than 50%) of the established performance expectations.
Successful Performer	Employee met all performance expectations and may have exceeded some (less than 50%). Employee was a solid contributor to the success of his/her department and the State of Georgia.
Successful Performer-Minus	Employee met most (more than 50%), but failed to meet some (less than 50%) performance expectations. Employee needs to further improve in one or more areas of expected job results or behavioral competencies.
Unsatisfactory Performer	Employee did not meet all or most (more than 50%) of the established performance expectations. Employee needs significant improvement in critical areas of expected job results or behavioral competencies.
Not Rated	*New hire or transfer within five months of end of performance period*

Evaluating Competencies

Employees need to be assessed appropriately on competencies. Competencies are "HOW" things get done, so the employee is assessed on "how" they went about accomplishing goals and responsibilities. For example, an employee may have completed a goal on time and within the specifications. However, the employee could have alienated coworkers during this process. If so, that would affect how the person is assessed on the Teamwork and Cooperation competency.

Each competency has **sample** behavioral indicators for a manager to use as a guide in assessing performance. These examples are included in the *Georgia PMP Competency Overview and Dictionary* on the Performance Management page located on the Team Georgia and DOAS HRA website.

Note. These behavioral indicators are only examples of some behaviors. The Agency and/or the manager may identify specific behaviors for the competency based upon the requirements of the job.

Notes on using the behavioral indicators

- Behavioral examples of the competencies are provided using 3-key anchor points (Unsatisfactory Performer, Successful Performer, and Exceptional Performer) on the State's 5-point rating scale.

- These are examples of what behaviors *could* look like and **are not inclusive of all behaviors** that demonstrate each level of performance for the competency. Rather, this is a tool to help guide evaluations of employee performance and should not be used as a checklist for employees' behaviors. The Agency, division, or the manager may identify other behaviors that are important.

- Use this tool to help form an assessment of employee performance compared to the State's and the Agency's expectations.

- It is emphasized that these are general behaviors associated with the competency – what it could look like. However, what competencies look like will vary from job to job and agency to agency. A manager can identify additional behavioral indicators that are appropriate – when doing so, be sure to describe what the behavior looks like at a "successful performer" level.

- Behavioral examples are provided for three anchor points, while employees are evaluated on a five-point rating scale. The manager needs to use good judgment to evaluate where a person resides on the five-point scale.

- Below is an illustration of where the five points on the rating scale reside in relation to the anchor points.

(1)	(2)	(3)	(4)	(5)
Unsatisfactory Performer		**Successful Performer**		**Exceptional Performer**
■ Inconsistently meets commitments to others or delivers on commitments late		■ Follows through and meets personal commitments to others on time		■ Exceeds his or her commitment to others by frequently delivering work early
■ Occasionally "bends the rules" when faced with pressure from customers or other State stakeholders		■ Holds self and others accountable for making principled decisions ■ Addresses unethical behaviors head-on		■ Lives the State's values and maintains his/her ethical principles even in the most challenging circumstances
■ Fails to take ownership of personal or team performance ■ Refrains from coaching team members to improve performance		■ Commits to the State's goals and finds ways to get team members more involved toward accomplishing State objectives		■ Generates enthusiasm among team members for accomplishing shared goals that elevates the team and ensures the State's success

Behavioral Competency Evaluation Example

The customer service competency will be used as an example of how to evaluate performance. Part of the customer service competency is listed below as a reference.

When you are evaluating an employee you may find that they were helpful in that they willingly provided assistance and useful information to meet customer needs; and took appropriate actions to provide accurate information to customers, which is what a Successful Performer would do. However, while they were helpful once the customer got a hold of them, they were not easily accessible in that it was difficult to reach them, which is an example of unsatisfactory performance.

All other things considered, you might decide to rate them as Successful Performer - Minus. They were not unsatisfactory overall in the competency; however, they were not fully successful either. This is the same type of judgment process to use when distinguishing between Exceptional Performer and Successful Performer - Plus.

Unsatisfactory Performer	Successful Performer	Exceptional Performer
■ **Helpful:** Fails to provide assistance and information to customers or begrudgingly provides minimal service; fails to identify or solve customer service issues; does not incorporate learning from past mistakes.	■ **Helpful:** Willingly provides assistance and useful information to meet customer needs; takes appropriate actions to provide accurate information to customers; assumes ownership of customer issues and takes appropriate steps to correct problems.	■ **Helpful:** Anticipates customer needs and goes "the extra mile" to provide service; takes ownership of customer issues, actively seeks ways to improve customer service; makes useful improvement suggestions to the appropriate manager or leader.
■ **Courteous**: Fails to greet customers promptly and be polite in interactions; is not attentive to the customer or considerate of his/her needs; fails to leave a positive impression with customers; inappropriately reacts to situations rather than being empathic to the needs of the customer.	■ **Courteous**: Greets customers promptly and respectfully face-to-face or over the phone; listens attentively to verify understanding of customers needs; quickly establishes and maintains positive relationships with customers; takes an interest in customers and understands their needs; shows respect by remaining patient, calm and polite in all situations.	■ **Courteous**: Maintains a professional and respectful demeanor at all times when serving customers; is attentive to customers' needs, even during busy periods; Continually improves relationships with customers by focusing individualized attention; empathizes with a variety of customers and helps them feel understood; acts respectfully and diplomatically to defuse even the most difficult situations with ease.
■ **Accessible:** Is difficult to contact in person or over the phone; takes an unreasonably long time in responding to customer requests and issues; fails to address reducing unreasonable customer wait times; fails to make information about services or the agency available to the customer when it is in their power to do so.	■ **Accessible:** Is easy for the customer to contact in person or over the phone; responds promptly and courteously to customer requests and issues; ensures that customer wait times are reasonable; makes helpful information about services or their agency available to the customer.	■ **Accessible:** Makes self fully available to the customer in person and over the phone by being flexible with time and schedule in order to provide services and information; finds ways to reduce customer wait times; identifies ways to improve the accessibility of information and services for the customer.

Evaluating Goals and Responsibilities

For each goal or responsibility, measure the employee's actual performance throughout the year against each performance expectation written on the performance management plan and assign a rating for each performance expectation.

Use all the relevant information collected about the employee's performance which you will need to reasonably measure the goals.

For each goal or responsibility measure the employee's actual performance throughout the year against each performance expectation written on the performance plan and assign a rating for each.

Here are some questions which might help guide the manager's judgment in determining the rating for a performance expectation:

- ✔ Did the employee's work achieve the described results or behaviors?
- ✔ Was the employee's work completed in a timely manner?
- ✔ Did the employee's efforts cost more or less than they should have?
- ✔ Did the employee's efforts result in any new or improved methods of working?
- ✔ How satisfied were the customers (including coworkers) receiving the service?
- ✔ How acceptable were the employee's methods or manner of performance?

All goals and responsibilities should be evaluated in the same way: Actual performance compared to the goals and measures identified during the planning meeting and documented on the performance evaluation.

Evaluating/Reviewing the Individual Development Plan (IDP)

The manager needs to review the goals, objectives, and activities outlined on the employee's IDP. Actual performance and accomplishment of activities should be compared to the identified activities, goals, and objectives. The manager should note those that were completed successfully and note any comments or feedback. Likewise, the manager needs to review those items in the IDP that were not achieved.

There may be numerous reasons why items on the IDP were not completed that the manager should take into consideration. Some examples include:

- Employee was unable to attend training due to agency budget restrictions
- Employee's work load was very high so it was difficult to find the time for developmental activities
- There were difficult time constraints
- Agency changes in structure and work demands

If there are items that were not accomplished that were in the employee's power to complete, then the manager needs to decide how to discuss this and provide appropriate feedback and coaching during the review session.

The manager may want to revisit these items and put them on the upcoming year's IDP. If the development activities were designed to work on deficiencies in performance, then the manager needs to identify the ramifications for the employee for not completing the activity. However, any failure to perform should have been identified in the rated sections of the performance plan.

Types of Performance Rating Errors

Evaluating performance for an entire review period can be difficult. To help with being as objective as possible, be aware of the following evaluation errors:

	Definition	Example
Recency Effect	The tendency to evaluate an employee's performance based on his/her most recent behavior	Terry gave her employee a low rating on Teamwork and Cooperation because he did not solicit input from another department in the last project. However, throughout the year, Terry had actively worked with other groups from various departments.
Halo Effect	The tendency to make generalizations from one aspect of the employee's performance to all other behaviors	Pat's outstanding communication skills caused his manager to give him high ratings on other competencies where he actually needed development.
Similar-to-me Effect	The tendency of a rater to rate employees who resemble themselves more highly than other employees who are different from the rater	Karen was a manager who was happily married with two children. She tended to rate other women with families higher than their performance warranted.
Central Tendency	The tendency to rate employees in the middle even when their performance warrants a higher or lower rating	Michael did not want to confront his employee with negative feedback therefore he gave him with a Successful Performer rating on all the assigned competencies.
Positive or Negative Leniency	The tendency to rate employees higher or lower than their performance warrants	Diane rates all her employees lower than they deserve because she has created impossibly high standards for Exceptional Performance.
Contrast Effect	The tendency to evaluate employees in comparison to their peers rather than against the standards of their jobs	Chris had an outstanding employee on his team that always exceeded expectations and therefore gave all other employees Successful Performer – Minus ratings when in fact they met the expectations of the job.

To improve rater accuracy:
- Focus on behavior over time
- Gather behavioral examples to validate performance
- Look for patterns and trends
- Verify your understanding with the employee

Calculation of Performance Ratings

Weighting Competencies, Goals and Responsibilities

❑ Each performance expectation (goal, competency, or responsibility) is assessed individually.
❑ Once all the performance expectations in a section have been rated, an overall rating will be calculated for the section.

Each performance expectation is given an individual rating. These individual ratings are then averaged to give an overall rating for the specific section.

For example, an employee has three goals in Section 2: Individual Goals and Competencies. The employee receives the following individual ratings:
- Goal 1. Exceptional Performer – 5
- Goal 2. Successful Performer – 3
- Goal 3. Successful Performer - Plus – 4

Each of the sections receives an overall rating which is an average of the ratings for the individual items in each section. An overall rating for the section is calculated by taking the average of these three ratings, resulting in a rating of Successful Performer Plus – 4 in this example.

❑ Next the ratings from each section are weighted in terms of importance. These weightings are determined at the beginning of the performance period.
❑ The overall score for the year is calculated based upon the sections ratings and their associated weights.

There are three sections on the performance management form on which employees can be evaluated: 1) Core/Individual Competencies, 2) Individual Goals, and 3) Job Responsibilities.

The weightings need to total to 100%.

Overall Score:
The overall score for the performance evaluation is calculated using a weighted average, which takes the overall rating for each section and the weight given to the section to calculate the overall rating that the employee receives.

Calculating Ratings

Here is an example of how an employee's overall rating is calculated manually using the default weights for Sections 1 – 3.

Section 1 – Core/Individual Competencies

Employee has been rated the following on the five Statewide Core Competencies:

  4 - Customer Service
  2 - Teamwork and Corporation
  3 - Results Orientation   15 / 5 = 3 or Successful Performer
  3 - Accountability
+ 3 - Judgment and Decision Making
  15

Step 1 – Add all of the Core/Individual Competencies ratings (4 + 2 + 3 + 3 + 3 = 15) and then divide the total (15) by the number of core/individual competencies (5)

Calculation: 15 / 5 = 3 (Section rating of 3 = Successful Performer)

Step 2 – Multiply the section rating (3) by the default section weight (25%)

Calculation: 3 x .25 = .75 (Weighted score for the section is .75)

The weighted score for the section will be used to calculate the employee's overall ratings.

Section 2 - Individual Goals

Employee has been rated the following on three the Individual Goals:

   5 - Exceptional Performer (Individual Goal 1)
   3 - Successful Performer (Individual Goal 2)   12 / 3 = 4 or Successful Performer Plus
+ 4 - Successful Performer Plus (Individual Goal 3)
  12

Step 1 – Add all of the Individual Goals ratings (5 + 3 + 4 = 12) and then divide the total (12) by the number of individual goals (3)

Calculation: 12 / 3 = 4 (Section rating of 4 = Successful Performer Plus)

Step 2 – Multiply the section rating (3) by the default section weight (50%)

Calculation: 4 x .50 = 2 (The weighted score for the section is 2)

The weighted score for the section will be used to calculate the employee's overall ratings.

Section 3 – Job Responsibilities

Employee has been rated the following on two Job Responsibilities:

   3 - Successful Performer (Job Responsibility)   6 / 2 = 3 or Successful Performer
+ 3 - Successful Performer (Job Responsibility)
   6

Step 1 – Add all of the Job Responsibilities ratings (3 + 3 = 6) and then divide the total (6) by the number of job responsibilities (2)

Calculation: 6 / 2 = 3 (Section rating of 3 = Successful Performer)

Step 2 – Multiply the section rating (3) by the default section weight (25%)

Calculation: 3 x .25 = .75 (The weighted score for the section is .75)

The weighted score for the section will be used to calculate the employee's overall ratings.

Overall Rating

Step 1 – Add all of the weighted scores for Sections 1 - 3 (.75 + 2.00 + .75 = 3.55)

Employee has the following weighted scores for Sections 1 - 3:

     .75 – Core/Individual Competencies
    2.00 - Individual Goals   3.50 or Successful Performer - Plus
+   .75 - Job Responsibilities
    3.50

The overall score is 3.50, which would be rounded* to 4. The employee would receive an overall rating of Successful Performer – Plus.

*Note: Averages round up or down using normal rounding rules as follows:

.00– 1.49 = 1
1.5 – 2.49 = 2
2.5 – 3.49 = 3
3.5 – 4.49 = 4
4.5 – 5.00 = 5

Approval Process

Once the manager completes the evaluation he or she will send it to the manager's manager for approval. The manager's manager either approves the document or requires changes and sends it back to the manager to make the necessary changes. Once the manager's manager approves the evaluation, it is sent to HR for approval. HR will either approve the performance evaluation or will send it back for changes; changes are made and sent back to HR for approval. Once HR approves the evaluation the manager conducts a performance evaluation meeting with the employee.

Conducting the Performance Evaluation Meeting With the Employee

In general, it is best to have one meeting with the employee to discuss the current year's evaluation and then hold another meeting at a later date to develop a performance plan for the next year. However, the performance evaluation meeting for the performance period just finished can be combined with the performance planning meeting for the next performance period if that seems advisable. To do this, the manager should structure the combination meeting so that the first part concentrates on providing feedback on the employee's past performance; the second part can then focus on planning for the next year.

Managers should:

1. Take all information and documentation related to the employee's performance to the meeting.

2. Begin by explaining the purpose of the meeting.

   The purpose of meeting with the employee is:

   - To discuss the manager's evaluation of the employee's performance for the period

   - To discuss areas of accomplishment and areas where improvement may be needed

   - To develop plans to maintain or improve future performance (if this is the case)

3. Take notes to document the discussion and encourage the employee to do the same.

4. Emphasize to the employee that the meeting is a two-way conversation: a mutual review of the employee's prior year performance, which may involve a problem-solving and goal-setting exchange.

5. Refer to the Performance Plan and review the performance expectations established at the beginning of the period (and any modifications made later).

6. Remind the employee of the definitions of the rating scales.

7. Encourage the employee to comment on the self-evaluation first.

   • This approach allows the manager to build on the employee's comments. However, if the employee seems uncomfortable with this approach, the manager can suggest that they walk through the self-evaluation together. The manager is advised to begin by letting the employee provide a rating on the first section. The manager then gives his or her own rating and leads a discussion of any differences between the two ratings.

   • The manager should be sure to keep the discussion in context by referring often to the performance expectations established with the employee at the beginning of the period.

8. Review the ratings for each performance expectation.

   • Where the employee's performance is rated "Successful Performer - Minus" or "Unsatisfactory Performer," the manager should be prepared to cite specific examples of the performance that was expected.

   • Build on the employee's comments regarding problem areas--he or she generally knows what would help improve performance and can make recommendations.

9. Try to agree with the employee on appropriate action plans for continued performance growth or improvement (either in this meeting or in a future meeting specifically designated for development planning).

   • Plans should spell out what is expected from both the employee and the manager. If the manager shows that the organization has a stake in the employee's performance, the individual will be more likely to buy in to the development plans.

   • Remember, it is just as possible (and arguably more powerful and easier) to improve on an employee's strengths as it is to improve on a weakness.

10. Summarize the major points of the discussion and explain how the overall ratings were derived.

11. Give the employee an opportunity to make additional comments.

12. Express confidence in the employee's desire to continue successful performance or to improve performance and offer any assistance that might help the employee to succeed.

13. Ask the employee to acknowledge that the performance discussion occurred by indicating in the correct place.

14. Forward the completed form to the manager's manager for signature. Or meet with the manager's manager if the employee has refused to sign the evaluation or there have been any significant areas of disagreement to discuss the situation.

   • It may be possible to resolve any disagreement between the manager and the employee in a joint meeting with the Manager's Manager, without the employee resorting to the formal review process.

Performance Evaluation - Multiple Managers

When an employee has been supervised by more than one manager during a performance period (because of a promotion, change in manager, or transfer), ideally each manager should complete a summary evaluation for the time they directed the employee's work.

The annual evaluation performed to determine eligibility for a performance-based increase should then be a composite of all the evaluations. If the evaluations are not consistent with one another, the agency's designated manager's official may have to be called upon to resolve any issues related to determining an appropriate overall rating for the period.

Managers should always try to complete an evaluation on an employee who is transferring to another division or Agency or to another work unit within the Agency.

Phase IV: Performance Recognition

Performance recognition includes any activities designed to acknowledge the results and value the employee adds to the organization. These can include development opportunities, work on a special project, or broadened job responsibilities. If funding is available, recognition can also include monetary rewards.

Non-Monetary Rewards and Recognition

In the state work environment, monetary increases are always subject to fund availability. Even when funds are available, they are not often to the level that managers would like to reward employees with. Below are additional suggestions and ideas that a leader can use to create a motivating environment.

Achievement	• Certificate of Achievement for learning a new skill • Employee of the Month parking for reaching a goal • Acknowledge in organizational reviews for contributions
Advancement	• Cross training opportunity or 'job swap' • Attendance at management meetings as an observer • Letter of recommendation for completing a project
Recognition	• Top 5 in Performance Weekly Report • Wall of Fame plaques in break room • Agency newsletter
Responsibility	• Keys to the office • Involvement in new hire training • Authority to repair machines
Personal Growth	• Attendance in employee training program • Personal goals (i.e. healthy lifestyle) • Completion of a course
Challenging Work	• Personal Note for accepting additional tasks • Lead a task force • Learning a new skill or behavior

Keep in mind that the things that are considered rewarding vary from person to person. The best way to ensure that your efforts will be appreciated is to ask the employee how they would prefer to be acknowledged.

Monetary Performance Rewards

> Agency HR officers will advise managers regarding their Agency's policy on salary increases without a performance evaluation.

Salary Treatment

What Determines an Employee's Eligibility for a Salary Increase and Bonus?

Two factors determine whether an employee is eligible for a salary increase: Level of work performance and compliance with their Performance Plan. Actual awarding of increases is always subject to availability of funds.

Salary Increases without Performance Evaluation

In cases where an employee is due for salary increase consideration and there has been insufficient time to observe and evaluate his or her performance, it is possible to recommend a salary increase without a full performance evaluation, **if Agency policy permits.** If an employer elects to deny a salary increase, a full performance evaluation must be completed.

Agency HR offices will set their own deadlines for completion of performance evaluation forms due to them.