



Board of County Commissioners Agenda Request

4C

Agenda Item #

Requested Meeting Date: 12/18/2018

Title of Item: Adopt Performance Management Guide

<input checked="" type="checkbox"/> REGULAR AGENDA <input type="checkbox"/> CONSENT AGENDA <input type="checkbox"/> INFORMATION ONLY	Action Requested: <input type="checkbox"/> Approve/Deny Motion <input type="checkbox"/> Adopt Resolution (attach draft)	<input type="checkbox"/> Direction Requested <input type="checkbox"/> Discussion Item <input type="checkbox"/> Hold Public Hearing* <small>*provide copy of hearing notice that was published</small>
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Submitted by: Bobbie Danielson	Department: HR Department
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Presenter (Name and Title): Bobbie Danielson, HR Director	Estimated Time Needed: 5 minutes
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Summary of Issue:

The Performance Management Workgroup and Department Heads have reviewed the attached guide. This is a new Guide (not previously adopted) that is used in conjunction with our job evaluation forms. Highlights are summarized below for your convenience:

- *This guide was originally drafted in 2016 and has been "test-piloted".
- *Training has been provided to staff and the leadership team. Additional training sessions will be offered in 2019.
- *The purpose of this Performance Management Guide is to provide a resource to help department heads and supervisors implement a performance plan for those they supervise; a performance plan that clearly articulates performance expectations and is aligned with the strategic priorities of the County, department, division, and employee. This Guide is also intended to be a resource for employees, promoting an understanding of the performance management process, the role of the employee in performance planning and also guidance for completing the self-evaluation form.
- *Our newly-adopted vision, mission, and core values have been added.
- *The evaluation cycle is January 1 - December 31. (Deadline to complete evaluation forms is April 1 annually.)

In January through March, supervisors meet with staff. Rating communications occur; performance results from the preceding calendar year are discussed, and the new year's goals and performance criteria are discussed and finalized.

Alternatives, Options, Effects on Others/Comments:

If you have any questions or require additional information prior to the meeting, please feel free to contact me.

Recommended Action/Motion:

Motion to adopt the attached Performance Management Guide, effective December 18, 2018.

Financial Impact:

Is there a cost associated with this request? Yes No

What is the total cost, with tax and shipping? \$

Is this budgeted? Yes No *Please Explain:*

N/A. Will be distributed electronically to staff and retained on the Intranet.

Aitkin County

Performance Management Guide

Including Performance Plan and Evaluation Procedures

A supplement to Aitkin County Personnel Policy, Article III, Section I, Performance Management.

Board adopted _____, [pending 12/18/2018]



Our Vision: We strive to be a county of safe, vibrant communities that place value on good stewardship of local resources.

Our Mission: Aitkin County's mission is to provide outstanding service in a fiscally responsible manner through innovation and collaboration with respect for all.

Our Core Values: Collaboration, Innovation, Integrity, People-Focused, Professionalism

Our Vision{8101};

Our Mission: To provide quality services and efficient resource management for the citizens and guests of Aitkin County.

Our Values{8102};

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Introduction to Performance Management

Purpose

The purpose of this Performance Management Guide and accompanying evaluation forms is to provide a resource to help department heads and supervisors implement a performance plan for those they supervise; a performance plan that clearly articulates performance expectations and is aligned with the strategic priorities of Aitkin County, the department, division, and employee.

This Guide is also intended to be a resource for employees, promoting an understanding of the performance management process, the role of the employee in performance planning and also guidance for completing the [self-evaluation form](#).

The County's Expectations Regarding Performance Management

Aligning resources to accomplish organizational priorities is one of the most important functions of department heads and supervisors. The supervisor is accountable for ensuring each employee has a clearly defined performance plan. The [Performance Plan and Evaluation Form](#) is a tool used for this planning process. The form includes multiple sections including, core competencies (Sections 1-4), position/classification specific performance criteria (Section 5), individual goals and professional development (Section 6), and next period's goals and performance criteria, also known as the performance plan (Section 8).

As you prepare to develop a performance plan, begin with a review of the county's mission, vision and [core values](#). ****ADD**** They are the foundation on which we build; the mission speaks to what we do, the vision speaks to where we're heading and the values reinforce how we work. These foundational pieces, together with department specific mission, vision and values, help to align individual roles with organizational interests.

Aitkin County's strategic objectives are developed as part of a strategic planning process involving the county board of commissioners, elected officials and department heads. Understanding the organization's priorities is an important step in developing the strategic objectives that are unique and specific to your department.

The county's strategic objectives provide direction by identifying the big-picture goals for the organization. This information is cascaded through the organization to create alignment, ensuring departmental priorities and objectives that support the important strategies of the organization. Department strategic plans identify the objectives for the department. The departmental priorities and objectives translate into individual goals and assignments that ensure the accomplishment of the department and organizational objectives.

Individual roles are defined in job descriptions. Contact the Human Resources Office for information relating to writing effective job descriptions. An online training presentation is also available, [Job Descriptions - How to Write Them Effectively](#).

Performance management also involves filling the job with the best candidate, properly training new employees, and providing continuous coaching to clarify expectations. An online training session is available, [Coaching for Superior Employee Performance - Techniques for Supervisors](#). Management of performance is important to being a good supervisor and introducing the performance plan early, when an employee joins the department, serves as an effective means for communicating expectations and helping staff understand how their role links to the strategic

priorities and objectives of Aitkin County and the department. All supervisors are expected to participate in a performance management process with their staff.

Additional training resource: *How to Conduct New Employee Orientation*.

Performance Management Definition

Performance management is an ongoing process of communication between a supervisor and an employee that occurs throughout the year, in support of accomplishing the strategic objectives of the organization.

Performance Management Objectives

- Promote understanding of the mission, vision, values, strategic objectives, and expectations for the department and organization.
- Cascade the strategic objectives of the organization to departments and individual roles to ensure alignment with and achievement of important organizational and departmental priorities.
- Promote proactive performance planning and ongoing communication between supervisors and employees.
- Identify and resolve performance improvement needs through early intervention and coaching.
- Recognize quality performance.
- Serve as a resource for administrative decisions such as promotions, succession planning, strategic planning, and performance based pay.

Additional Components

- The overall performance rating is intended to reflect the individual's actual performance in relation to the performance criteria established in the performance plan for the entire evaluation period.
- Supervisors are evaluated on successful administration of the plan and ongoing performance management responsibilities.
- Training for supervisors and employees is available through the Human Resources Office.
- Content of the performance management plan must comply with all federal and state laws addressing non-discrimination.

Supervisor's Responsibilities

- Communicate and clarify major job duties, priorities and expectations at the beginning of the calendar year or when a new employee joins the department.
- Discuss performance ratings contained on the evaluation form - Excellence, Success, Needs Improvement, and Unacceptable, and the accompanying behavior examples.
- Monitor ongoing performance through observation and discussion.
- Document performance examples throughout the year, identifying successes and opportunities for growth.
- Provide continuous coaching and constructive feedback in a timely manner.
- Hold performance discussions throughout the year; quarterly and semi-annually is recommended.
- Correct unsatisfactory performance and reinforce effective performance.
- Help employees develop skills and abilities for improved performance.
- Provide necessary resources and information to ensure accomplishment of individual goals and performance criteria.

Training Resources

Human Resources staff is available to provide consultation with supervisors who are preparing a Performance Plan and Evaluation form, as well as assistance with preparing individual Performance Improvement Plans (PIP). Training on all aspects of Performance Management is available upon request.

The following online training presentations are also available:

Performance Appraisals – How to Conduct Effectively

Measuring Job Performance – What Supervisors Need to Know

Coaching for Supervisor Employee Performance – Techniques for Supervisors

Motivating Employees – Tips and Tactics for Supervisors

Teambuilding for All Employees – How We Can Build Successful Teams to Achieve Important Goals

Teambuilding for Supervisors – Techniques for Building More Effective Work Teams

Performance Evaluation Cycle

Common Review Date

Aitkin County's performance evaluation cycle aligns with the calendar year, January 1 – December 31. All employees shall receive an annual performance plan and evaluation that accounts for performance in the preceding calendar year. The typical performance planning calendar is outlined below.

January

On or about January 1st, Self-Evaluation forms are distributed by HR to employees. Ten calendar days later, completed Self-Evaluation forms are returned by employees to supervisors.

On or about January 1st, Performance Plan and Evaluation forms are distributed by HR to supervisors.

February

By February 15, Supervisor drafts Performance Plan and Evaluation forms. If the draft evaluation results in a rating of Excellence, Needs Improvement, or Unacceptable when totaled in Section 7, the supervisor shall forward the draft evaluation to HR by February 15th for calibration review. All performance plan ratings require approval of the department head.

The calibration process requires supervisors to support rating recommendations with data that demonstrates a basis for an excellence rating. This also applies to a needs improvement or unacceptable rating. This process ensures rating equity across the organization. The annual calibration process will be facilitated by the HR Director or designee. Performance evaluations will not be shared across departments as they contain private data pursuant to the MN Government Data Practices Act, unless the employee is assigned to work in more than one department.

By March 1, Calibration review is completed and communicated by HR to supervisors.

Pay increases are communicated by HR to the Auditor's office, subject to Board approval of that year's wage scale.

January through March

Supervisor meets with employees. Rating communications occur; performance results from the preceding calendar year are discussed and finalized. The new year's goals and performance criteria are discussed and finalized.

April

By April 1, signed Performance Plan and Evaluation forms are submitted by the supervisor to HR for retention in the employee's personnel file.

New Hires

Pursuant to policy, performance evaluations will be conducted on all probationary employees during and prior to completion of the probationary period, typically a performance discussion at 3 months and a formal evaluation at 6 months. Performance evaluations will also be conducted on seasonal and temporary employees at the end of their work season or assignment.

Staff joining the organization during the first three quarters of a calendar year (January 1 - September 30) will receive a full performance evaluation at the conclusion of that calendar year, consistent with the performance evaluation cycle.

Staff joining the organization during fourth quarter (October 1 - December 31), will be eligible for a full performance evaluation at the conclusion of the following year, consistent with the performance evaluation cycle. During years when merit pay applies, this means staff joining the organization during fourth quarter of the calendar year (October - December), may be eligible for a base pay increase, when applicable, but will not be eligible for a merit pay increase until the following year.

Transfers, Promotions and Job Changes

Staff changing jobs and/or departments during the calendar year will receive a Performance Plan and Evaluation from their current supervisor. The evaluation will incorporate feedback from the prior supervisor and the rating will reflect the combined performance rating.

Performance Plan and Evaluation Forms

Employee Self-Evaluation Form
Performance Plan and Evaluation Form

Core Competencies and Performance Ratings Defined

Aitkin County has identified four core competencies that are common to all jobs. The core competencies identify standards and behaviors that are expected from everyone.

- Section 1 of the evaluation form – Delivering Exceptional Customer Service
- Section 2 – Building Teams and Collaborating
- Section 3 – Innovating and Being Open to Change
- Section 4 – Accurate Work Product and Efficiency

Performance ratings include: Excellence, Success, Needs Improvement, and Unacceptable.

Section 1 - Delivering Exceptional Customer Service

- Is dedicated to meeting the expectations and requirements of internal and external customers.
- Identifies and suggests ways to increase customer satisfaction.
- Acts with customers in mind.
- Establishes and maintains effective relationships with customers and gains their trust and respect.
- Follows-up with internal and external customers to ensure that problems or concerns are addressed and resolved.

Performance Levels:

Excellence: This employee is doing a very good job, and at times, an excellent job. They consistently surpass expectations. They demonstrate technical and professional excellence in tasks. They willingly update their professional knowledge. They excel in their defined work responsibilities. The individual pro-actively thinks ahead of and outside of their defined responsibilities and offers usable suggestions to improve work processes, service and results. They anticipate and prevent potential problems. They independently seek out opportunities to learn and grow.

Examples of behavior that earn this rating may include, but are not limited to:

- Ability to help customer clarify what their needs are and takes extra steps to assist the customer, especially if it's out of their area, and finds creative solutions in serving customer needs.
- Identifies and presents solutions to potential problems, may appropriately streamline and implement in order to exceed customer and organization needs.
- Envisions what customer would like to see and goes after resources to get it.
- Suggests and develops improvements to the system, not just the process, to improve the quality of service provided.
- Seeks out and applies feedback to improve self for betterment of team and customers.
- Not only responds to the complaint, but implements solutions for future problems.

- Takes leadership in involving both internal and external entities in problem-solving. Addresses and resolves problems before they become complaints.
- Identifies gaps in service and brings to supervisor's attention.
- Consistently will follow through and follow-up with customer to make sure problem was taken care of and customer is satisfied, even if not a completely positive outcome.
- Positive and friendly with customers, always open to customer feedback, and it is known that the customer is important.
- Sets a good example in their professionalism when dealing with all customers.

Success: This employee is doing a good job. They demonstrate technical and professional competence in work tasks and areas of specific practice. Assignments are completed. They effectively work within their defined job responsibilities and comply with professional development requirements.

Examples of behavior that earn this rating may include, but are not limited to:

- Engages with the customer to understand their needs.
- Meets customer needs reliably and with good quality.
- Respectful, polite, courteous and positive towards all customers.
- Willing to listen to and accepts constructive criticism well.
- Addresses complaints and tries to learn from them.
- Listens and usually responds appropriately to customers while maintaining a good working relationship.
- Follows-up with internal and external customers in a timely manner to ensure that problems or concerns are adequately addressed and resolved.
- Maintains composure in difficult situations.

Needs Improvement: This employee is not meeting the core competencies, performance criteria, goals, and/or professional development expectations of the position. Performance is not achieving expectations; one or more critical goals are not met. Previous discussion regarding the performance improvement needs should have occurred prior to this rating assignment. A follow-up review is required in six months.

Examples of behavior that earn this rating may include, but are not limited to:

- Doesn't think of the customer first.
- May think he/she already knows what they need.
- May focus on internal operations and get blindsided by customer problems.
- May not make the first move – won't meet and get to know customers.
- Uncomfortable with new people contacts.
- May be unwilling to handle criticisms, complaints, and special requests.
- May not listen well to customers, may be defensive.
- May not make the time for customer contact.
- May make too many exceptions and not form consistent policies, practices, and processes for others to learn and follow.

Unacceptable: This employee is not meeting the core competencies, performance criteria, goals, and/or professional development expectations of the position and has not adequately progressed following ongoing coaching. A follow-up review is required in three months and again in six months.

Examples of behavior that earn this rating may include, but are not limited to:

- Substantiated complaints are received about this person's customer service skills.
- Is disrespectful, impolite, rude, unfriendly, negative, impatient, or short-tempered with customers.
- Is negative when receiving feedback, defensive, argumentative; avoids problem-solving.
- Disregards complaints, won't listen to or apply constructive feedback.
- Argues with and criticizes clients and/or customers.
- Is insensitive to cultural or diversity issues.
- No follow-up or does not follow-up in a timely manner, even when he/she promises to respond by a certain date/time.
- Failure to assist or direct customers to appropriate information or resources.

Section 2 - Building Teams and Collaborating

- Cooperates, supports, and works with co-workers to accomplish team goals.
- Keeps others informed.
- Blends people into teams when needed.
- Creates strong morale and spirit in his/her team.
- Shares wins and successes.
- Fosters open dialogue.
- Lets people finish and be responsible for their work.
- Defines success in terms of the whole team.
- Creates a feeling of belonging in the team.
- Communicates problems to team members.
- Supports organizational and departmental decision-making processes.
- Contributes knowledge and expertise.
- Does their share of the work.
- Handles conflict productively within the team.
- Accepts new assignments.
- Helps others.

Performance Levels:

Excellence: This employee is doing a very good job, and at times, an excellent job. They consistently surpass expectations. They demonstrate technical and professional excellence in tasks. They willingly update their professional knowledge. They excel in their defined work responsibilities. The individual pro-actively thinks ahead of and outside of their defined responsibilities and offers usable suggestions to improve work processes, service and results. They anticipate and prevent potential problems. They independently seek out opportunities to learn and grow.

Examples of behavior that earn this rating may include, but are not limited to:

- Shares ideas for improvements and willingly offers to take steps to complete goals and achieve results.
- Keeps others properly informed, solicits opinions and feedback from others, utilizes that information for projects they are responsible for, identifies and implements new practices, creates solutions.
- Anticipates problems and prevents them, creates ideas, takes the lead on changes and improvements.
- Openly and effectively seeks solutions to solve problems instead of simply identifying the problem.
- Leader in their field of expertise, inside and outside of the organization.
- Consistently volunteers to be on teams across the agency, volunteers "to make things happen".
- Takes initiative...is a self-starter, workgroup looks to him/her as a leader.
- Is a role model and facilitates participation amongst others, sought out by peers for direction, identifies barriers to teamwork and suggests ways to enhance teamwork.
- Offers to help, especially in unusually difficult workload and/or personal situations, without being asked.
- Dedication to the workplace, promotes the organization.
- Exceeds workload requirements and quality of service. Finds ways to work smarter with co-workers.
- Consistently follows through on commitments.
- Actively participates in meetings, shares ideas, and provides feedback.
- Suggests improvements that will benefit the entire team and is tactful in correcting others' mistakes.
- Takes ownership and personal responsibility for decisions made.
- Readily contributes without being asked and is one of the first to volunteer.
- Problem solver, innovative, and mediator.
- Excellent conflict resolution skills (conflicts are not a subject of behind-the-back complaining to people who can't do anything to help resolve the problem) and assists others with conflict management.
- Encourages others to get involved and embraces change.
- Highly respected, good role model, special efforts as a leader and becoming a mentor.
- Accomplishes results without creating friction, compliments others for jobs well done.
- Helps co-workers in a timely, accurate fashion without guidance from supervisor.

Success: This employee is doing a good job. They demonstrate technical and professional competence in work tasks and areas of specific practice. Assignments are completed. They effectively work within their defined job responsibilities and comply with professional development requirements.

Examples of behavior that earn this rating may include, but are not limited to:

- Effectively communicates problems to appropriate team members in a timely manner.
- Supports co-workers and handles own caseload effectively.
- Respectful, cooperative, professional, pleasant, dependable, flexible and courteous.
- Communicates pertinent info in a timely manner.

- Supportive and accepting of organizational and departmental policies and procedures.
- Willingly obtains required training.
- Seldom has conflict, but if so takes the initiative to positively resolve.
- Willing to take on and complete new assignments and finishes them on time.
- Works well with the group, helps others, greets co-workers, doesn't gossip, supports the agency.

Needs Improvement: This employee is not meeting the core competencies, performance criteria, goals, and/or professional development expectations of the position. Performance is not achieving expectations; one or more critical goals are not met. Previous discussion regarding the performance improvement needs should have occurred prior to this rating assignment. A follow-up review is required in six months.

Examples of behavior that earn this rating may include, but are not limited to:

- Doesn't assemble, build or manage in a team fashion.
- Doesn't create a common mindset or common challenge.
- Rewards and compliments individuals, not the team.
- May not hold many team meetings.
- Doesn't create any synergies in the team; everyone works on his/her own projects.
- Doesn't manage in a way that builds team morale and energy.
- Doesn't have the skills or interest to build a team.
- May be very action and control oriented and won't trust a team to perform.
- May not treat others as unique individuals.
- May slow down reasonable process by having everything open for debate.
- May go too far in not hurting people's feelings and not making tough decisions.
- May not develop individual leaders.
- Might not provide take-charge leadership during tough times.

Unacceptable: This employee is not meeting the core competencies, performance criteria, goals, and/or professional development expectations of the position and has not adequately progressed following ongoing coaching. A follow-up review is required in three months and again in six months.

Examples of behavior that earn this rating may include, but are not limited to:

- Undermines the work of others, has a negative influence on others.
- Doesn't participate or contribute at team meetings or on team projects.
- Lack of or untimely communication.
- Doesn't follow policy/procedures, support decisions or decision-making process.
- Shuns, avoids, refuses assignments, off loads work to others, own work doesn't get done, needs prompting.
- Inability to get along with others, often complains, emphasizes problems, doesn't offer solutions.
- Poor work habits (incomplete work, closes down even if people still need help, causes others to pick up the slack)

Section 3 - Innovating and Being Open to Change

- Is good at bringing creative ideas to the department.
- Has good judgment about which creative ideas and suggestions will work.
- Has a sense about managing the creative process of others.
- Can facilitate effective brainstorming.
- Can project how potential ideas may play out.
- Practices attentive and active listening.
- Has the patience to hear people out.
- Can accurately restate the opinions of others even when he/she disagrees.
- Learns quickly when facing new problems.
- A relentless and versatile learner.
- Open to change.
- Analyzes both successes and failures for clues to improvement.
- Experiments and will try anything to try solutions.
- Enjoys the challenge of unfamiliar tasks.
- Picks up on the need to change personal, interpersonal, and managerial behavior quickly.
- Watches others for their reactions to his/her attempts to influence and perform, and adjusts.
- Seeks feedback.

Performance Levels:

Excellence: This employee is doing a very good job, and at times, an excellent job. They consistently surpass expectations. They demonstrate technical and professional excellence in tasks. They willingly update their professional knowledge. They excel in their defined work responsibilities. The individual pro-actively thinks ahead of and outside of their defined responsibilities and offers usable suggestions to improve work processes, service and results. They anticipate and prevent potential problems. They independently seek out opportunities to learn and grow.

Examples of behavior that earn this rating may include, but are not limited to:

- Ventures away from familiar ground into uncharted territory.
- Creates something fresh, new, original, or improved that creates value for the department or organization.
- Thinks outside the box when faced with challenging situations.
- Regularly surrounds self with those that think differently, gaining more perspectives.
- Funnel creative recommendations into practical applications.
- Fosters a spirit of creative collaboration by giving teams a common focus.
- Created a reporting system that is now used throughout the department or organization.
- Skillfully changes direction when faced with new information.
- Solved a long-standing problem or issue through a creative workaround.
- Is always willing to take a fresh look at policies and practices.
- Thinks of imaginative alternatives when confronted with barriers or obstacles.
- Encourages coworkers to be inventive and to take appropriate risks.
- Makes ongoing suggestions to improve operations that result in significant positive change.

Success: This employee is doing a good job. They demonstrate technical and professional competence in work tasks and areas of specific practice. Assignments are completed. They effectively work within their defined job responsibilities and comply with professional development requirements.

Examples of behavior that earn this rating may include, but are not limited to:

- Displays originality and contributes fresh ideas.
- Questions common practices in order to identify better ways of doing things.
- Readily identifies more efficient ways of doing business.
- Maintains composure when faced with stressful situations.
- Calms those around him/her by keeping them focused on the end goal.
- Rapidly adapts to changes in the nature of his/her assignments.
- Welcomes constructive criticism.
- Shows initiative when having to redefine the way he/she is performing a task.
- Remains a proponent of change.
- Goes with the flow and adapts readily to any changes in circumstances.
- Welcomes change as an opportunity.
- Is a versatile team player capable of handling diverse assignments.
- Demonstrates a keen ability to multi-task and juggle competing priorities.
- Quickly adapts to deviation from a pre-planned schedule and course of action.

Needs Improvement: This employee is not meeting the core competencies, performance criteria, goals, and/or professional development expectations of the position. Performance is not achieving expectations; one or more critical goals are not met. Previous discussion regarding the performance improvement needs should have occurred prior to this rating assignment. A follow-up review is required in six months.

Examples of behavior that earn this rating may include, but are not limited to:

- May be stuck in historical, tried-and-true methods, uncomfortable with ambiguity and quick to jump to a solution.
- Learns new things slowly.
- Not a good judge of what's creative
- Doesn't understand the marketplace for innovation.
- May be a perfectionist avoiding risk and fearing failures and mistakes.
- Gives up too soon and accepts a marginal solution.
- Functions on the surface, doesn't go deep.
- May not use experiments to learn and improve, and may block the innovations of others.
- Looks for the simplest explanation too soon.
- May be afraid to take a chance on the unknown.
- Not agile or versatile in learning to deal with first-time or unusual problems.
- Doesn't change or adapt to his/her surroundings.
- May see adjusting to others as a sign of weakness.
- May be arrogant or defensive.
- Doesn't change or adapt to his/her surroundings or the situation.

- May be a one-thing-at-a-time person or a person who only thinks about what he/she is doing, not how others are responding or what they need.
- May get too far out in front of others in thinking and planning.
- May tend to change things too often.

Unacceptable: This employee is not meeting the core competencies, performance criteria, goals, and/or professional development expectations of the position and has not adequately progressed following ongoing coaching. A follow-up review is required in three months and again in six months.

Examples of behavior that earn this rating may include, but are not limited to:

- Appears reluctant to embrace last-minute changes in direction.
- Strictly adheres to only those job duties outlined in his/her job description.
- Does not “roll with the punches” effectively.
- Demonstrates a tendency to resist even minor changes.
- Postpones or delays training and implementation of new programs.
- Remains unwilling to carry out tasks that are “below him/her”.
- Does not excel at independent, research-based activities.
- Avoids covering for others in the department when needed.
- Becomes frustrated when faced with unexpected changes in plans.
- Tends to resist or resent new work assignments.
- Often raises his/her voice and “lashes out” at his/her peers when things don’t go as planned.
- Demonstrates a time-clock mentality.
- Becomes flustered when interrupted or asked to deviate from a fixed schedule.

Section 4 – Accurate Work Product and Efficiency

- The quality of work from this person or group is always among the best.
- Produces work that is mostly error free the first time with little waste or redone work.
- Very productive and efficient in planning and executing work.
- Accurately scopes out the work, creates efficient workflows and processes, and assigns resources properly.
- Consistently outperforms most other people or groups because of excellence at planning, priority setting and execution.

Performance Levels:

Excellence: This employee is doing a very good job, and at times, an excellent job. They consistently surpass expectations. They demonstrate technical and professional excellence in tasks. They willingly update their professional knowledge. They excel in their defined work responsibilities. The individual pro-actively thinks ahead of and outside of their defined responsibilities and offers usable suggestions to improve work processes, service and results. They anticipate and prevent potential problems. They independently seek out opportunities to learn and grow.

Examples of behavior that earn this rating may include, but are not limited to:

- Finds ways to make things run more smoothly when planning, organizing, and accomplishing tasks.
- Offers suggestions for improvement to workflow.
- Anticipates clients needs and deadlines.
- Manages several tasks concurrently and continually reprioritizes and is able to take on new projects while maintaining other duties.
- Consistently performs at a high level and works ahead of schedule.
- Informs supervisor early on of potential scheduling troubles/conflicts.
- Identifies problems before they occur, involves appropriate people, and develops and implements a solution while keeping supervisors informed of successful and unsuccessful outcomes.
- Collaborates and redefines the job to improve productivity and efficiency.
- Manages several tasks with expertise and anticipates future tasks.
- Seeks out extra projects that are challenging.
- Anticipates changes and has suggestions on various solutions.

Success: This employee is doing a good job. They demonstrate technical and professional competence in work tasks and areas of specific practice. Assignments are completed. They effectively work within their defined job responsibilities and comply with professional development requirements.

Examples of behavior that earn this rating may include, but are not limited to:

- Plans, organizes, and accomplishes work in a timely and effective manner.
- Understands their job, can handle the workload, and completes on own.
- Manages multiple tasks well most of the time.
- Adjusts well to unanticipated changes in work priorities, with accurate and timely results.
- Uses time wisely and completes assigned tasks on time.
- Notifies manager in a timely manner of change in workload or project schedules.

Needs Improvement: This employee is not meeting the core competencies, performance criteria, goals, and/or professional development expectations of the position. Performance is not achieving expectations; one or more critical goals are not met. Previous discussion regarding the performance improvement needs should have occurred prior to this rating assignment. A follow-up review is required in six months.

Examples of behavior that earn this rating may include, but are not limited to:

- Produces work that's below the quality standard.
- Does not proofread well. Contains notable and sloppy errors.
- Usually requires rework before it can be used and then barely meets average minimum quality standards or specifications.
- Not up to standard with some waste of time or resources.
- Quality standards exceed what's reasonable.
- Not orderly in approach to work.
- Works on whatever comes up, gets easily diverted into less productive tasks.
- Follow-through is spotty.
- Wastes a lot of energy and time due to being disorganized.

Unacceptable: This employee is not meeting the core competencies, performance criteria, goals, and/or professional development expectations of the position and has not adequately progressed following ongoing coaching. A follow-up review is required in three months and again in six months.

Examples of behavior that earn this rating may include, but are not limited to:

- Unable to set and follow priorities.
- Not meeting deadlines for assigned work, does not accomplish level of expected productivity.
- Socializing interferes with their work tasks.
- Adjusts poorly to unanticipated changes, causing diminished quality, quantity, and/or timeliness of work.
- Excessive time spent talking or visiting, takes long breaks, or wastes time in other ways.
- Spends time doing non-work-related tasks (surf internet, projects from home, etc.)
- Not at desk and ready to work at assigned time.
- Does not inform supervisor when needing time off, or change in schedule, or of potential problems.

Competencies Resource

FYI, For Your Improvement Book – *A Guide for Development and Coaching* [INSERT HYPERLINK], for learners, managers, mentors, and feedback givers, by Michael M. Lombardo and Robert W. Eichinger.

Performance Plan and Evaluation Procedures

I. Performance Evaluation Process

A. Employee Self-Evaluation

An employee self-evaluation form is available for use. Employees may be required by supervisors to complete the self-evaluation form. Supervisors may choose to use the employee self-evaluation in the manner and at the time which is most relevant.

Administration recommends that supervisors have employees complete the self-evaluation and return it to the supervisor as the first step in the evaluation process.

B. Supervisor Draft Evaluation

A performance evaluation may not be finalized until the employee has had an opportunity to discuss the evaluation with the supervisor.

Administration recommends that supervisors prepare a draft of the evaluation form prior to meeting with the employee.

C. Performance Evaluation Meeting

All employees are entitled to have a one-on-one meeting with their supervisor related to their performance evaluation.

D. Finalizing the Performance Evaluation

The supervisor is responsible for final decision on performance evaluation ratings and comments.

Employees are entitled to submit a written rebuttal to any rating or comment in their performance evaluation they disagree with. Such rebuttals will be filed with the performance evaluation in Human Resources within 14 days of the supervisor finalizing the performance evaluation.

Human Resources will periodically audit performance evaluations for accuracy, completeness, compliance with policy and these procedures.

E. Appealing Performance Evaluation related to Pay-for-Performance

This space reserved for future use when/if pay-for-performance is implemented.

II. Setting Custom Performance Criteria and Goals

A. Position Specific Performance Criteria and Goals

Position specific performance criteria are those performance criteria that are exclusive or customized for a particular classification. If there are multiple individuals in a particular classification (i.e. with the same job title) they should have the same performance criteria and goals. Some exceptions may apply if they have the same job title, but work in different units or divisions of a department, but they should have the same performance criteria and goals within those defined units.

The performance criteria and goals should be directly related to the actions and deliverables that are required to perform the specific job held by the employee.

There are two options for position specific performance criteria

Option 1

The supervisor may utilize 3 of the major job functions from the classification position description.

Option 2

The supervisor may utilize goals established for the performance of an entire work unit.

Position specific goals may be contingent upon performance of a unit, not just an individual team member.

Supervisors are not required to use this section, but it is encouraged.

Employees must have prior knowledge of all position specific criteria and goals prior to its inclusion on a performance evaluation. An employee is considered to have knowledge if the position specific criteria is directly from the job description.

B. Individual Goals and Professional Development (Up to 6 "bonus points")

Note that this section is scored differently than sections 1 – 5. The points obtained in the individual goals and professional development section is similar to "bonus points". An employee does not need to be awarded points from this section in order to be successful or demonstrate excellence.

Individual goals are those which are exclusive or customized for a particular employee. These goals may be used for multiple employees but they must be able to impact the criteria or goal on their own.

Goals should be established with clear criteria for the award of points. An employee may obtain up to two additional points for the attainment of the goal.

Individual goals may be used by a supervisor to improve on strength, or address a deficiency.

Example of Goal

Complete project a and project b by the assigned date. (100% complete = 2, 75% complete = 1)

Example of Professional Development Goal

Obtain training in project management. (training obtained and demonstrated use = 2, training obtained = 1)

Supervisors are not required to use this section, but it is encouraged.

Employees must have prior knowledge of all individual criteria and goals prior to its inclusion on a performance evaluation.

III. Completing the performance Evaluation Form

A. Layout of the Performance Evaluation Form

The performance evaluation form has 6 sections:

- Section 1 – Delivering Exceptional Customer Service
- Section 2 – Building Teams and Collaborating
- Section 3 – Innovating and being open to change
- Section 4 – Work Product and Productivity
- Section 5 – Position Specific Goals and Performance Criteria
- Section 6 – Individual Professional Development Goals and Performance Criteria

Sections 1 – 4 contain 3 questions each.

Section 5 is for position specific goals and performance criteria that are set at the supervisor/department head's discretion.

Section 6 is for individual professional development goals and performance criteria that are set at the supervisor/department head's discretion.

Each section is connected to recommended chapters in the book For Your Improvement (FYI). The recommended chapters are included for ease of access in the title bar of each section.

B. Scoring the evaluation

The points earned in each section should be totaled. The section totals are added in Section 7, and an appropriate overall score is provided.

C. Rules for Sections 1 – 6

All questions must have a rating.

All questions must have a rating chosen (one, two, three or four).

Questions in sections 6 that are blank do not require a response.

Not all comments justify changing the rating on a question.

A supervisor who makes a comment on the performance evaluation is not required to use that comment to change the rating on the performance evaluation from the presumptive rating.

When a supervisor makes a comment that justifies adjusting the rating on the question the supervisor should note in the comment which question number is being adjusted.

The presumptive rating on each question is 3.

A supervisor does not need any justification (comments) to be documented to provide a rating of 3.

At least 1 specific comment per question (1a, 1b, 1c, etc.) is required justifying a rating above or below 3.

To provide a valid rating below 3:

- The supervisor must be able to document at least one ~~specific instance~~example, per point below 3, indicating how the employee failed to meet expectations related to that particular standard; and
- the employee must have been made aware that their performance did not meet expectations; and
- the employee must have been given the opportunity to improve their performance to meet the standard including reasonable time, and supervisor support.

To provide a valid rating above 3:

- The supervisor must be able to document at least one ~~example~~specific instance where the employee exceeded expectations related to that particular standard.

Comments and specific instances may not be used to justify a rating above or below the presumptive rating more than one time throughout the performance evaluation.

Example

If the supervisor chooses only one specific comment for a section, then only one question should be rated above or below "3".

Defining "specific comment"

Documenting significant behavior helps improve communication. The feedback to employees, both positive and critical, can enhance employee motivation to improve. Accurate documentation of specific behaviors and incidents allows an employee to understand which on-the-job behaviors are productive and which are not.

A specific comment which can justify a rating above or below 3 is a comment which preferably^(BID3):

- Describes a point in time or period in time; and
- Describes an action(s) that are applicable to the standard; and
- Describes the impact of the action(s) that are applicable to the standard

Examples

"On (date) a customer with a very difficult problem came in to the office, it was obvious they were very upset; you handled the situation well, and the customer left with an understanding they did not have when they came in."

Comments are intended as specific examples of larger patterns of behavior

If a specific instance is not "typical" of the employee's overall performance; a comment and rating (either above or below two) is not warranted.

Example

An employee makes a significant mathematical error on a document; which is observed and noted in an audit. The supervisor discusses the error with the employee. With some monitoring and additional inspection of the employee's work product, the supervisor determines that the error is not "typical" of the employee's work performance. The supervisor would be justified in not making a comment or changing the rating of the employee on the evaluation.

Level of experience matters as context

Supervisors may consider the level of experience of the employee in making decisions related to employees' work performance. Nothing in this guidance should be construed to suggest that expectations of employees with less experience must be lower; but thoughtful consideration of an employee's experience in evaluation is appropriate.

Example

An employee with one year of experience is able to produce 5 widgets per day and an employee with 10 years of experience is able to produce 10 widgets per day. Given the discrepancy in experience, if the supervisor believes that the less tenured employee is producing widgets at a level which is appropriate for her experience, the less experienced employee should not be rated lower.

Factors Impacting Performance

Before discussing performance with the employee, assess factors that may have had an unanticipated negative or positive impact on performance. Consider:

- Unanticipated events that redirected work activities
- Staffing issues
- Lack of proper equipment
- Excessive work load fluctuations
- Working conditions
- Delays from internal or external sources
- Unclear objectives or performance standards
- Policy changes

Pay Guidelines

Wage Adjustment

Refer to the Personnel Policy or applicable collective bargaining agreement for wage scales.

Resources

Contact the Human Resources Office for additional information and resources relating to the performance management process.