

STATE OF MAINE  
PERFORMANCE MANAGEMENT FORM  
INSTRUCTIONS

**SECTION 1- GENERAL INFORMATION**

This section describes the employee's basic employment information plus:

- Reasons for the evaluation i.e. End of Probation (EOP), Extension of Probation, Merit Increase, Annual Review, when they change supervisors (Change of Rater).
- The rating period covered by the evaluation (Anniversary date). *The anniversary date is the date provided by the Human Resources Office and would not be changed regardless of when the supervisor began to rate the employee.*

NOTE: We now require only the last 4 digits of the SSN.

**SECTION 2-JOB DESCRIPTION**

Describe this employee's core or essential roles, responsibilities, or duties of the work.

This section's purpose is to assure that this employee is clear on the responsibilities of the position and that the supervisor is confident that the responsibilities have been made clear to the employee.

**SECTION 3- PERFORMANCE STANDARDS AND EXPECTATIONS**

Unlike section two where the general job responsibilities were clarified, this section sets out quantitative and qualitative expectations and standards required for success for this person. That is, not only must this employee do X, he/she must do so many per time unit, or at a certain level of accuracy, or in such a way that satisfies customers (e.g. timeliness, friendliness, completeness, etc.). This section is setting the expected "bar" at the right height for this employee based on time on the job, experience, education, etc.

*Be sure to note any expectations the employee is required to meet in order to pass the probationary period, such as obtaining a particular certificate prior to the end of probation.*

This section should be reviewed at the beginning of the rating period and the acknowledgement of this review should be documented in the space after section 4.

**Annual Expectations** - New performance expectations are developed at the beginning of each employee's anniversary date. Results of the expectations are written at the end or extension of the employees six month probation and at the end of the rating period which is one year from their anniversary date. The anniversary date is established by Civil Service Rules and the Human Resources Office.

**SECTION 4- EMPLOYEE DEVELOPMENT PLAN**

This is recommended for each employee. This will involve creating a plan for each employee to ensure continual development as job responsibilities change and training to prepare them for future organizational needs and personal growth or advancement.

This section should be used, even for a new employee, to create a development plan. That is, this employee may be asked to job shadow an experienced co-worker, attend certain training classes, or participate in certain public meetings in order to build

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experience as an observing and/or participating member of the unit (*not to work them out of class*).

An experienced worker may have a comprehensive development plan noted here that would prepare her/him for promotions within the ranks or into management. It is important that any employee who wishes to advance have an identified path forward.

**Note:** *The acknowledgment section should be signed after the employee and the manager meet to discuss the first 4 sections of the performance management form.*

The first 4 sections and the acknowledgement should be done for all new employees so there is a clear understanding of the work right from the start. For new employees, only section 1-4 are completed.

## **SECTION 5- REVIEW OF EMPLOYEE PERFORMANCE**

In this section you will assess the employee's performance in 13 rating categories (*plus an additional 6 if the employee is a supervisor*). The Comments/Review of Employee Performance section below the rating is where you will expand your assessment of the expectations set in section 3.

**NOTE:** If your agency is using the **fully narrative form**, the rating portion of section 5 will not be applicable; address the review of the performance expectations in narrative or bulleted points.

### **Assessment of Rating Categories**

#### **Options:**

**Outstanding-** this option would rarely be used. It is an option for someone who is truly beyond "exceeding"-it isn't an option you would necessarily use from year to year for the same person. It is the option to acknowledge exceptional results. It may be the person who brought a team together in an unexpected and efficient way; someone who may have demonstrated an ability to communicate in the most difficult situations; it could be a person who has established a whole new approach to the assigned work that was adopted by the entire unit. An individual may only demonstrate these strengths a few times. A rating of less than outstanding the following year shouldn't be considered a reflection of an employee slipping in their work.

**Exceed Expectations-** this category represents those who have demonstrated they go above and beyond what is expected. This may mean they were able to pick up the knowledge necessary to do the job quicker than expected, or they may have completed an assigned project before the deadline; it may mean their judgment about the assigned work is always spot on.

**Meets Expectations-** The person has demonstrated they know how to do the work, they know how to communicate in an effective way, they turn in reports/projects in a timely manner; they do the work as expected and as asked by their supervisor.

**Falls Below Expectations-** This option represents someone who may need a bit more time in understanding the job, or a bit more direction when communicating with others. The work they do may not always be consistent or it may just not be effective. They are not performing qualitatively or quantitatively in the way that was expected and discussed when they were hired or at past performance reviews.

Falling below expectations should never be a surprise to an employee. If a person is not meeting expectations, you should not wait until a performance review to tell them.

**Not Applicable-** This option should not be used often; it is the option to use when the category just does not apply to the type of work the person is assigned.

### **Categories:**

- a) **Job Knowledge**- Demonstrates the appropriate level of understanding of key concepts/abilities needed to perform the specific work. The employee is expected to keep up to date on any relevant changes affecting the area of practice/job assignment.
- b) **Written Communications**- Conveys information clearly, effectively, and appropriately through formal and informal documents.
- c) **Oral Communications**- Speaks clearly and expresses self well in groups and in one-on-one conversations. Actively listens to and conveys understanding of comments and questions of others.
- d) **Quality and Thoroughness of Work**- Work consistently meets high standards and its completeness meets customer expectations.
- e) **Judgment/Professionalism**- Works to build respect, excellence, and confidence when interacting with internal and external customers. Brings integrity to interactions and processes; contributes to the improved image of State Government.
- f) **Effective & Efficient Productivity**- Produces at or above expected levels with a high degree of accuracy and timeliness. Sets priorities and allocates time in order to meet deadlines.
- g) **Problem Solving**- Shares information and involves appropriate people in decision making process. Makes timely, logical decisions. Decisions are modified based on new information when appropriate. Takes responsibility for decisions, identification of problems, and their resolution while involving appropriate people.
- h) **Initiative**- Displays a high level of commitment to performing the work with little outside direction or involvement; sees what needs to be done and does it.
- i) **Customer Service**- Seeks feedback from internal and external customers. Anticipates customer needs and provides quality services to customers. Continuously searches for ways to increase customer satisfaction.
- j) **Adaptability**- Is willing to adjust to multiple demands, shift priorities, and accepts ambiguity and rapid changes. Shows resilience in the face of constraints, frustrations, or adversity. Demonstrates flexibility.
- k) **Reliability**- Has the ability to maintain consistency in performance during routine or typical circumstances.
- l) **Interpersonal Skills**- Shows respect and tolerance for each person. Relates well to others; possesses good listening skills; and demonstrates trust, sensitivity, and mutual respect. Recognizes the contributions diversity brings to job performance and creativity.
- m) **Teamwork**- Works well with others in order to meet organizational goals. Fosters collaboration among the differing views of team members and among teams.

### **Supervisors**

- a. **Timely Performance Evaluations**- meets agency standards and timeliness.

- b. **Delegation/Follow-up**- Assigns responsibility to empower others. Coordinates work efforts when necessary. Ensures expectations are being met by exercising managerial accountability.
- c. **Staffing**- Demonstrates leadership and holds employees accountable for meeting their expectations. Builds a strong team with complementary strengths. Forms the right structures and team. Holds employees accountable for not only performance of the duties but for their behavior and conduct in the workplace.
- d. **Coaching and Counseling**- Gives timely, specific feedback and helpful coaching. Adapts approach to each individual.
- e. **Employee Development**- Accurately assesses strengths and development potential for each employee being supervised. Develops a written development plan for each employee, with goals, guidelines, and deadlines.
- f. **Quality Focus**- Emphasizes the need to deliver quality services. Defines standards for quality and evaluates processes and service against those standards.
- g. **Planning and Organizing**- Develops short and long range plans that are appropriately comprehensive, realistic, and effective in meeting goals. Integrates planning efforts across work units. Handles multiple demands and competing priorities. Manages meetings effectively.

### **REVIEW OF EMPLOYEE PERFORMANCE EXPECTATION/RATING COMMENTS**

The comments/summary section is the overall view of the employee's performance and/or behavior and conduct. This needs to include their accomplishments and areas needing improvement along with situations that resulted in counseling and/or discipline. While the actual type of discipline is not mentioned in the evaluation, the incident that gave rise to the discipline is brought forth and placed in this section.

### **SECTION 6 REVIEW OF EMPLOYEE DEVELOPMENT PLAN**

Section 4 established a development plan. The narrative in this section reviews the progress made on that plan. Be specific as to what this employee completed, almost completed, or made no progress on. Sections 4 and 6 are designed to look toward the future: this employee's future and the future of the organization's workforce.

### **SECTION 7- OVERALL RATING**

Select an overall rating for the employee. An employee may fall below expectations on one or two areas but more than compensate in other areas, resulting in an overall rating of "meets expectations".

**SECTION 8 EMPLOYEE COMMENTS AND EMPLOYEE SIGNATURE**- This section gives the opportunity for the employee to add additional comments on the performance management review. Ensure the employee selects whether or not they concur with the review. Additional attachments should be included when necessary; be sure to comment that there are attachments to the performance management form.

### **SECTION 9- MANAGEMENT APPROVAL**

Ensure you select the applicable option (Merit increase/probation)

#### **Signatures**

- a. **Supervisor Signature (Rater)**- Immediate Supervisor's signature.

- b. **Supervisor Name (Rater)**- Type or print
- c. **Reviewer Approval**- Supervisor's manager's signature.
- d. **Employee Signature** – The employee's signature. Signature does not indicate that they concur or do not concur with the rating. It means they have seen, read and understand the evaluation.
- e. **Agency Head Signature** - Department Commissioner's Signature

#### **SECTION 10- PERIODIC REVIEW**

Supervisors need to meet periodically throughout the evaluation period with each employee. This is necessary in order to ensure the employee is working toward the written expectations and to discuss and provide feedback and follow-up on their performance and/or behavior and conduct. Creating expectations at the beginning of the rating period of an employee and then only meeting at the end of the rating period does not provide ongoing supervision, guidance, coaching, and counseling.