

DEPARTMENT OF ADMINISTRATIVE AND FINANCIAL SERVICES

BUREAU OF HUMAN RESOURCES

July 1, 1997

CIVIL SERVICE BULLETIN 10.4C

TO: All Agency and Department Heads, Personnel Officers

SUBJECT: State Performance Management System

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**Reference:**

Personnel Bulletin 10.4  
Personnel Bulletin 10.4A  
Personnel Bulletin 10.4B

**Purpose:** To establish guidelines and procedures governing the Maine State Performance Management System. This bulletin supersedes Personnel Bulletins 10.4, 10.4A and 10.4B.

**Statement of Principle:**

Performance management provides a means to develop and retain the human resources necessary to achieve strategic goals and objectives and helps facilitate organizational change.

Performance management is a process for ensuring a shared understanding of what has to be achieved, and of managing people in a way that increases the probability of individual and organizational success.

Performance management is based on the premise that clarity on the what (end results) and the how (competencies that support work performance) plus ongoing support will lead to individual and organizational performance improvement.

**Definitions:**

1. Merit is defined as that character of performance, deserving of reward, distinguishable by meeting or exceeding clearly established performance standards.

2. Job Description is defined as a concise description of major job responsibilities that constitute the most important aspects of the job.
3. Performance Expectations are defined as those written quantitative or qualitative standards derived from job descriptions and organizational objectives that serve to determine how well an employee performs.
4. Competencies are defined as those commitments, knowledge, skills and behaviors exhibited by employees on the job that lead to successful performance.
5. Rater is defined as the supervisor to whom an employee is directly responsible. Raters are responsible for managing the performance of subordinate employees in accordance with the practices and procedures of the State Performance Management System.
6. Reviewer is defined as a supervisor who rates several lower level supervisors, including the supervisor to whom the employee is directly responsible. Reviewers are responsible for:
  - Timely, fair and consistent evaluations between raters;
  - Guiding and coaching raters in the performance management process; and
  - Integrating organizational values, goals and objectives into the performance management process.
7. Appointing authority is defined as the agency head or an authorized representative who is designated in writing to the Director of Human Resources.

**Guidelines:**

1. Performance management is not an annual event, but an ongoing process. There should never be any surprises at the end of a performance rating period, as managers who are properly managing performance are providing continual feedback to employees, both formally and informally, throughout the rating period.
2. The performance management system will continue to utilize a rater, reviewer, and appointing authority to ensure impartiality and to achieve the greatest possible degree of standardization.
3. There will be an annual performance evaluation that will be the principal means for determining who will and will not receive merit increases. All performance evaluations written for an employee during the rating period will be considered.
4. The annual performance evaluation will provide the means for identification of employee development and training needs.

5. Performance evaluations must be completed for all classified and unclassified employees annually prior to the anniversary date, regardless of eligibility for merit increases.
6. Anniversary dates will be established and maintained in accordance with Attachment 3, Computation of Anniversary Dates.
7. Performance evaluations will be completed for all classified and unclassified employees who transfer, resign, or upon a change of rater provided an appraisal has not been prepared within the last 90 days.
8. The reviewer and the appointing authority must have the authority to modify evaluations in cases where the reasons for doing so can be identified and substantiated. Where it is deemed necessary, the appointing authority may declare the evaluation null and void and appoint a new rater who is knowledgeable about the rated employee's performance.
9. Appointing authorities and reviewers have the responsibility for identifying lenient or severe raters and for modifying evaluations accordingly.
10. Raters, reviewing officials, and appointing authorities are responsible to ensure that where a merit increase is awarded it has been earned.
11. Raters, reviewing officials, and appointing authorities are responsible to ensure that where a merit increase has been denied the denial is fully justified and documented on the performance management forms and in a performance file, and that the means to correct the disqualifying deficiency is also documented.

**Procedures:**

1. Performance evaluations must be completed for all classified and unclassified employees at least once annually using the standard Performance Management Form.
2. Performance evaluations must be completed within 30 days for all employees who transfer, change raters, or who resign, providing more than 90 days have elapsed since the last evaluation. Such evaluations must be made by the supervisor who is severing direct responsibility for the employee's supervision.
3. Performance evaluations are to be based upon valid job descriptions, performance expectations, and competencies as described on the State Performance Management Form and accompanying instructions.
4. Raters must maintain a performance file on each rated employee. This file must contain a record of significant occurrence of successful and/or problematic performance during the year. The employee must be informed of each entry and must be given the opportunity to initial or sign the document at the time of the entry. Entries must be completed by date and time and include a brief description of the event and circumstances. The performance

file provides an important source of information for the performance evaluation. After all actions involving the performance file have been completed to include appeals and grievances, it must be destroyed.

5. Each rater, when applicable, must enter on the performance management form a recommendation for or against a merit increase. This recommendation must be supported by the ratings and comments contained on the forms. Actions to be taken to correct performance deficiencies must also be recorded on the form.
6. Employees who have reached the top of their salary grade or who are redlined at a maximum salary are not eligible for merit increases but must receive an annual performance appraisal.
7. Employees selected for or denied merit increases must be notified not later than three weeks prior to the anniversary date. Merit increases must be processed as expeditiously as possible so as to ensure payment of the increase in the pay period in which is earned.
8. Raters must review performance progress for all initial classified and unclassified probationary employees after three months of employment. Performance evaluations for initial classified and unclassified probationary employees must be completed prior to completion of the employee's six months probation. If an extension of probation is recommended and is approved by the Director of Human Resources for a maximum of an additional six months, a new form must be submitted at the end of the approved extension. Exception: The probationary period for some Law Enforcement classifications is one year.
9. Upon completion of 6 months service, promotional classified and unclassified probationary employees must be awarded permanent status or have their probation extended using the standard performance management form. The recommendation to award permanent status or to extend must be made by the rater, concurred with by the reviewer and appointing authority. New performance management documenting satisfactory progress are required ten days prior to the end of any approved extension.
10. The Performance Management System Overview and Instructions (Attachment 1) is the resource document used in establishing performance management procedures and training within all state agencies. Requests for deviation from this document with justification may be submitted to the Director of Human Resources.
11. Special merit increases may be approved by the Director of Human Resources for sustained exceptional performance in accordance with Personnel Rule 5.2b. Documentation is required to support recommendations for a special merit increase. In addition, recommendations for special merit increases must be accompanied by the written approval and justification of the appointing authority (agency head).

12. Employees who are denied merit increases may be reconsidered provided improved performance justifies; however no employees will be reconsidered sooner than six months after the denial. Employees reconsidered and awarded merit increase must have new anniversary dates established by adding six months (180 days) to the old anniversary date. If after reconsideration the merit increase is again denied, the employee cannot be considered eligible for an additional six months. A new performance evaluation will be required for each reconsideration.
13. Merit increases may be withdrawn for cause as specified by Personnel Rule 5.2c. A new performance appraisal is required to justify the action.
14. Three copies of the Performance management form must be prepared at the end of the performance period and distributed as follows:
  - Copy One: Agency Files
  - Copy Two: Rater
  - Copy Three: Employee
15. Copies of the most recent performance evaluation must be provided by an agency to new raters and appointing authorities upon completion of transfer or change of rater. All performance evaluations for the rating year are be considered in determining selections for or denials of merit increases.
- 16a. Agencies must institute an Appeals Procedure for employees who wish to appeal non-selection for a merit increase or merit ratings. (See Personnel Memorandum 13-78).
- 16b. Employees may file a written notice of appeal with their agency within 10 working days after notification of non-selection invoking the Agency Appeals Procedure. The notice of appeal must contain a narrative of the specific points in issue and include, as exhibits, a copy of the performance appraisal and such documentation as the employees or their representative believes supports the points in issue.
- 16c. The agency must process the employee's appeal in accordance with the Agency Appeals Procedure. The Agency Appeals Procedure must be formulated by the agency and reduced to writing. It must preserve the neutrality and objectivity of the appeals forum and must provide for a method of advising the appointing authority or his designee(s) as to whether or not the appeal should be denied or other action taken. Written copies of the Appeals Procedure proposed by the agency must be submitted to the Director of Human Resources for review and approval. Upon approval, the Agency Appeals Procedure must be posted within the agency or otherwise communicated to all agency employees.
- 16d. The Agency Appeals Procedure must provide for the written response of the appointing authority or designee(s) to the employee's appeal within 30 calendar days of receipt.

- 16e. Within 7 calendar days, after the receipt of the response of the appointing authority or designee(s), the employee, if dissatisfied with that response, may file a notice of appeal with the Director of Human Resources. The notice of appeal must include:
- (a) specific points of appeal.
  - (b) all documentation presented to the agency, including notice of appeal, written argument, and other materials presented.
  - (c) a written argument supporting the points raised by the appeal.
- 16f. Within 30 calendar days of receipt, the Director of Human Resources or designee must review the appeal and state the findings and decision in writing to the employee and the appointing authority. The decision of the Director of Human Resources is final and not subject to further administrative review.
- 16g. Failure to file an appeal within the time limits specified by paragraph 2 through 5 above may be cause to consider waiver of right to appeal.

**Compliance Audits:**

The electronic or paper transmission of a Human Resource Profile to the Bureau of Human Resources constitutes official notification by the appointing authority that all legal, contractual and procedural requirements have been met. The Bureau of Human Resources reserves the right to audit agency personnel records at any time to determine compliance to these procedural requirements and the requirements of Civil Service Rule and contractual agreements in effect, and to direct corrective action to be taken as may be required.



Donald A. Wills, Acting Director  
BUREAU OF HUMAN RESOURCES

**Attachments**

1. Performance Management System Overview and Instructions
2. State of Maine Performance Management Form
3. Computation of Anniversary Dates

# Performance Management System Overview & Instructions

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## Introduction

Performance management is not an annual event but an ongoing process. There should never be any surprises at the end of a performance rating period, as managers who are properly managing performance are providing continual feedback, both formally and informally, throughout the rating period.

The intent of performance management is to enable all employees to fully understand their job responsibilities and performance expectations, to understand how their contributions help their organization to meet its goals and objectives, and to identify employee developmental needs. This is beneficial for employees, supervisors and the organization as a whole.

The performance management process has cooperation and support as its core. The objectives are:

1. to foster and enhance job-related communication between supervisors and employees;
2. to update and revise job expectations on a regular basis;
3. to provide motivation to employees;
4. to provide supervisory support;
5. to identify methods to achieve the goals and objectives of the Department and the organization; and
6. to provide the basis for recommendation of a salary step increase.

These guidelines are designed to answer some basic questions about the performance management process. Should additional questions arise, feel free to contact your Manager or your Personnel Officer.

## Performance Management Overview

### What is it?

An Organizational and management system that relates performance objectives to organizational goals and objectives so that all employees understand how their jobs contribute to the success of the organization.

A Planning and Evaluation system for each employee's performance expectations and developmental needs as they relate to the overall effectiveness of the organization.

An Accountability system to assure that responsibilities are well defined and being met.

A Communication System for two-way discussions about organizational goals and objectives, continuous improvements of work methods, individual job expectations, actual job performance, and employee developmental needs.

### Why is it done?

Because people need to know what is expected of them. Additionally, it is an opportunity to enhance communication, organizational planning, and employee growth and development. Performance management will serve to provide an opportunity to:

1. Develop an employee's understanding of how the employee's job contributes to organizational goals and objectives;
2. Enhance employee understanding of how his/her performance compares with expectations;
3. Identify and discuss key worker behaviors and traits that contribute to a quality organization;
4. Assess work unit efficiency and effectiveness;
5. Define and alter individual responsibilities and expectations;
6. Identify potential problems before they become major;
7. Document performance problems and build on successes.

Finally, the law requires that managers must document satisfactory performance in order for employees to progress from step to step in the salary grade.

### When are Performance Interviews conducted?

For all employees - Constantly, on an informal basis and formally, upon initial appointment, appointment to another position, at the beginning of each performance review period, or at the request of the supervisor or employee to discuss progress toward or changes to previously established work expectations.

For permanent employees - Once a year prior to the employee's performance review date. Employees selected for or denied merit increases will be notified prior to the anniversary date. Merit increases will be processed as expeditiously as possible so as to ensure payment of the increase in the pay period in which it is earned.

For probationary employees - Supervisors must provide employees who are on initial probation with an assessment of progress after three months of employment. Supervisors are required to complete the Performance Management Form prior to the end of the employees probationary period in order to recommend permanent status, extension of probationary period, or termination.

Where is it done?

Wherever the work is being performed. The essential factors for successful meetings are privacy and absence of interruptions.

Who does it?

The supervisor to whom an employee is directly responsible and the employee.

### Elements of the Performance Management Process

1. **Ongoing Communications.** It is extremely important to both the supervisor and the employee communicate frequently regarding performance expectations or changes. This dialogue is a crucial element of successful performance management.

2. **Description of Major Job Responsibilities.** This is developed by the supervisor and the employee. It provides a written description of the (major) job responsibilities that an employee is expected to perform during the rating period. This description must be:

- current (revised when responsibilities change)
- developed jointly, preferably agreed to by the supervisor and employee but in all cases communicated by management and understood by employees;
- reasonable and attainable
- within classification requirements
- understood by the reviewer
- focused on critical, important aspects of the job
- reviewed and updated at least annually

3. **Performance Expectations.** These written statements are developed by the supervisor with the employee's participation that serve to clarify and quantify the employee's job responsibilities. Performance expectations always contribute to organizational goals and objectives.

4. **Employee Competencies and Behaviors.** These are rated in order to identify employee strengths and opportunities for improvement. These include core competencies required of all employees, terms and conditions of employment, job knowledge and skills, and where applicable, managerial competencies.

5. **Developmental Plans.** Plans are designed to indicate recommendations of further development and training, to prepare the employee for additional responsibilities or to improve current job performance.

6. **Performance File.** The supervisor will maintain a file in order to provide employees with documents of successful and/or problematic performance. All such documentation must be discussed with, signed and dated by the employee at the time of entry into the performance file.

7. **Periodic Review.** From time to time, it may be necessary to review progress toward or changes to previously established expectations during the rating period.

8. **Performance Management Form.** In completing the form, evaluators must review the employee's performance file, strengths and weaknesses, as well as areas for growth and change, using as a starting point previously developed:

- job responsibility descriptions
- performance expectations
- developmental plans
- organizational goals and objectives

When completing a Performance Management Form, supervisors must use only that performance experience and file material that pertains to the current performance period.

9. **Performance Management Interview.** The interview consists of a face-to-face meeting between the supervisor and the employee to review past performance expectations and plan for the future performance period.

### Guidelines for Conducting the Performance Management Interview

While there are relatively few requirements of the Performance Management Process, it is important that the intended purposes of communication, cooperation and support be adhered to in the ongoing process of performance management. In addition, successful completion of this process is dependent on **joint preparation for the interview.**

Prior to the interview, the supervisor asks the employee to prepare by reviewing a copy of the



performance management form for the current evaluation period and come prepared to discuss:

- Changes to the description of job responsibilities;
- An assessment as to how well the employee has met performance expectations;
- Personal attributes critical to the job; and
- Plans to further develop the employee's job skills and competencies

Additionally, the supervisor asks the employee to come prepared to discuss any ideas that the employee may have to improve work processes and methods.

The supervisor conducts the interview with the employee, using the following recommendations as a guide. Instructions for using the Performance Management Form as an effective tool are contained on the form.

**1. Discuss the extent to which the employee met performance expectations.**

This time is used to compare the supervisor's observations of the employee's performance with the employee's perceptions of their own performance. A mutual understanding is developed of how well the employee met performance expectations. The supervisor allows the employee to present their view of their performance first and compares and contrasts the employee's perception with their own evaluation. The employee's performance file is used as a source of information about the employee's performance during the rating period. Additionally, the supervisor should reflect on work performed during the past performance period that was either exceptional or in need of improvement.

**2. Discuss the employee's work behaviors as they relate to job performance. Discuss the employee's strengths and make suggestions for improvement.** Section 4 of the Performance Management Form lists core competencies, knowledge and skill, basic conditions of employment, and where applicable, managerial competencies. These are discussed with

the employee, highlighting areas where the employee has performed very well and/or areas where there is an opportunity for improvement.

**3. Discuss the recommended areas for growth, change or improvement as related to job competencies and work behavior.**

As part of the performance management process, supervisors and employees are encouraged to consider any areas of the employee's performance that could be improved or changed in any way to benefit both organizational and employee needs. Section 5 of the form is used for this purpose. Supervisors are required to complete this section when an unsatisfactory area has been identified.

**4. Develop the job description, performance expectations, and developmental plan for the coming year. Complete sections 1,2,3 and 5 on a new form that will be used as the performance management document for the coming review period.**

An integral part of the performance management interview is developing these key elements for the coming review period. Use a blank form for this purpose (sections 1,2,3 and 5). This form, with these sections completed, will constitute the individual's performance plan for the coming performance rating period. The supervisor should review the overall goals and objectives of the organization to ascertain needs. The supervisor should also obtain a copy of the class specification from the agency's personnel office. The job description and performance expectations must be consistent with the employee's job classification.

**5. Encourage Employee Comments.**

The supervisor should encourage employees to make any comments they wish to add to the Performance Management Form, including suggestions for improved service delivery or areas of disagreement with the performance ratings.



# STATE OF MAINE PERFORMANCE MANAGEMENT FORM

**SECTION 1 - GENERAL INFORMATION**

|   |                                    |                            |   |  |   |
|---|------------------------------------|----------------------------|---|--|---|
| 1. EMPLOYEE'S NAME - LAST, FIRST, MIDDLE  | 2. DEPARTMENT, BOARD OR COMMISSION | 3. DIVISION OR INSTITUTION |   |  |   |
| 4. EMPLOYEE NUMBER  | 5. EMPLOYEE'S CLASSIFICATION TITLE | 6. PAY GRADE / STEP        | 7. POSITION NUMBER                          |  |   |
| 8. PERIOD OF REPORT<br><br><table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <tr> <td style="width: 50%; padding: 2px;">FROM:</td> <td style="width: 50%; padding: 2px;">TO:</td> </tr> </table> | FROM:                              | TO:                        | 9. TYPE OF REPORT<br>(check all that apply) | <input type="checkbox"/> End of Probation<br><input type="checkbox"/> Annual<br><input type="checkbox"/> Extension of Probation<br><input type="checkbox"/> New Assignment | <input type="checkbox"/> Change of Rater<br><input type="checkbox"/> Special Merit<br><input type="checkbox"/> Merit Increase<br><input type="checkbox"/> Termination |
| FROM:   | TO:                                |                            |   |  |   |

**SECTION 2 - CONCISE DESCRIPTION OF MAJOR JOB RESPONSIBILITIES**

**SECTION 3 - PERFORMANCE EXPECTATIONS**

*Expectations are to be developed by the supervisor at the BEGINNING of the working period with input from the employee and the concurrence of higher management. Expectations should be listed in order of priority from most important to least important. Expectations should normally include maintenance activities as well as new initiatives. At the END of the evaluation period, the results toward the expectation should be stated. Use additional sheets if necessary.*

|              |                                       |
|--------------|---------------------------------------|
| EXPECTATION: | <input type="checkbox"/> Exceeded     |
| RESULT:      | <input type="checkbox"/> Met          |
|              | <input type="checkbox"/> Did Not Meet |
| EXPECTATION: | <input type="checkbox"/> Exceeded     |
| RESULT:      | <input type="checkbox"/> Met          |
|              | <input type="checkbox"/> Did Not Meet |
| EXPECTATION: | <input type="checkbox"/> Exceeded     |
| RESULT:      | <input type="checkbox"/> Met          |
|              | <input type="checkbox"/> Did Not Meet |

**SECTION 4 - ASSESSMENT OF COMPETENCIES RELATING TO JOB PERFORMANCE**

The qualities shown below are qualities toward which every employee should strive. Please rate the employee on these qualities. Consider: (1) the employee's job description, (2) level of experience, and (3) the goals and expectations established in the previous evaluation. Comment on each rating. Comments are critical to documenting strengths and suggestions for improvement.

The rating factors are as follows: **NEEDS IMPROVEMENT** = Improvement is needed to meet acceptable standards **SATISFACTORY** = Fulfills the normal job requirements with some strong points **OUTSTANDING** = Exemplifies the competency and serves as a model for others.

**CORE COMPETENCIES**

|  | Needs Improvement | Satisfactory | Outstanding |
|--|-------------------|--------------|-------------|
| <b>Initiative:</b> Drives for results and success. Sets high standards of performance. Pursues aggressive goals and works hard to achieve them. Displays a high level of effort and commitment to performing the work.   |                   |              |             |
| <b>Adaptability:</b> Handles day-to-day work challenges confidently. Is willing and able to adjust to multiple demands, shifting priorities, ambiguity and rapid change. Shows resilience in the face of constraints, frustrations or adversity. Demonstrates flexibility.     |                   |              |             |
| <b>Planning and Organizing Work:</b> Defines and arranges activities in a logical and efficient manner. Effectively uses resources including time, money and materials.  |                   |              |             |
| <b>Decision Making:</b> Shares information and involves appropriate others in the decision-making process. Makes timely, logical decisions. Decisions are modified based on new information when appropriate. Takes responsibility for decisions.                              |                   |              |             |
| <b>Customer Service:</b> Seeks feedback from internal and external customers. Anticipates customer needs and provides quality services to customers. Continuously searches for ways to increase customer satisfaction.   |                   |              |             |
| <b>Teamwork:</b> Contributes to organizational goals. Fosters collaboration among team members and among teams.  |                   |              |             |
| <b>Interpersonal Relations:</b> 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. |                   |              |             |

**COMMENTS**

Large empty box for providing comments on the Core Competencies section.

**KNOWLEDGE & SKILL**

|   | Needs Improvement | Satisfactory | Outstanding |
|---|-------------------|--------------|-------------|
| <b>Job Knowledge:</b> Demonstrates appropriate level of understanding of relevant job knowledge. Consistently expands job knowledge and keeps abreast of new developments in the field.               |                   |              |             |
| <b>Oral Communication:</b> Speaks clearly and expresses self well in groups and in one-on-one conversations. Demonstrates attention to and conveys understanding of comments and questions of others. |                   |              |             |
| <b>Written Communications:</b> Conveys information clearly and effectively through formal and informal documents.   |                   |              |             |

**COMMENTS**

Large empty box for providing comments on the Knowledge & Skill section.

## TERMS & CONDITIONS

|                   |              |
|-------------------|--------------|
| Needs Improvement | Satisfactory |
|-------------------|--------------|

**Works When Scheduled:** Begins and ends work when required. Calls in according to policy when arriving late for work or when absent. Observes policies on break and lunch periods. Uses work time appropriately.

**Requests and Uses Leave Time Appropriately:** Submits leave requests on a timely basis. Requests and uses the proper type of leave in accordance with established rules. Provides documentation for use of leave when required.

**Safety Clothing and Uniforms:** Wears appropriate safety clothing, if required. Wears full, regulation uniform, where required.

**Observes Health, Safety and Sanitation Policies:** Observes established policies. Notifies proper authorities of circumstances or situations that present potential health or safety hazards.

**Follows All Other Rules and Policies:** Performs work according to rules and policies. Does not improperly use state property or knowingly permit others to do so. Does not engage in unauthorized activities during work time.

### COMMENTS

**MANAGERS**  (Check here if this Section does not apply)

|                   |              |             |
|-------------------|--------------|-------------|
| Needs Improvement | Satisfactory | Outstanding |
|-------------------|--------------|-------------|

**Delegation/Follow-Up:** Assigns responsibilities. Delegates responsibility and empowers others. Removes obstacles. Allows for and contributes needed resources. Coordinates work efforts when necessary. Monitors progress.

**Staffing:** Builds a strong team with complementary strengths. Forms the right structures and teams. Demonstrates leadership and holds employees accountable for safe work practices, fair employment practices and State and Federal AA/EEO requirements.

**Coaching and Counseling:** Gives timely, specific feedback and helpful coaching. Adapts approach to each individual.

**Employee Development:** Accurately assesses strengths and developmental needs of employees. Provides challenging assignments and opportunities for development.

**Quality Focus:** Emphasizes the need to deliver quality services. Defines standards for quality and evaluates processes and services against those standards.

**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.

### COMMENTS

**SECTION 5 - EMPLOYEE DEVELOPMENT PLAN**

Indicate recommendations for further development and training for purposes of preparing the employee for additional responsibilities or for the improvement of current job

Planned Development/Training Activities Agreed Upon by Employee and Supervisor

Target Date

Actual Process (Did plan meet goals)?

**SECTION 6 - PERIODIC REVIEW (This can be initiated by either the employee or the supervisor)**

The employee and supervisor may meet AS NECESSARY to review progress toward or changes to previously established expectations. Use the space below to document the meeting. The employee and supervisor should date and initial the document at the time of each review. Use additional sheets if necessary.

Date: \_\_\_\_\_ (Initials) Employee: \_\_\_\_\_ (Initials) Supervisor: \_\_\_\_\_

Date: \_\_\_\_\_ (Initials) Employee: \_\_\_\_\_ (Initials) Supervisor: \_\_\_\_\_

Date: \_\_\_\_\_ (Initials) Employee: \_\_\_\_\_ (Initials) Supervisor: \_\_\_\_\_

**SECTION 7 - OVERALL PERFORMANCE RATING (Check One)**

**Exceeded Expectations:**

Has exceeded overall performance expectations. Skilled in relation to the technical and/or managerial requirements of the job. Has skill to be consistently successful in meeting difficult challenges.

**Met Expectations:**

Has successfully achieved performance expectations. In a few instances, may have exceeded some expectations and missed some, but on the balance, the individual has competently performed the duties of the job. Demonstrates the motivation to improve performance.

**Did Not Meet Expectations:**

Has not completely or consistently met performance expectations. Met most expectations, but has not completely reached agreement upon standards of quantity and/or quality for performance expectations.

**SECTION 8 - ADDITIONAL COMMENTS BY SUPERVISOR, IF APPROPRIATE:**

**SECTION 9 - EMPLOYEE'S COMMENTS AND SIGNATURE**

Employee may comment on all or any part of the information contained in this document, including the evaluation process. This may include suggestions or ideas for improvement in the unit or department. If the employee does not concur with the evaluation, check the appropriate box and explain reasons for disagreement.

I understand my job and individual responsibilities, performance expectations and the terms and conditions under which I am expected to work.

(DO)     (DO NOT) Concur with my supervisor's evaluation

EMPLOYEE SIGNATURE

DATE

**SECTION 10 - MANAGEMENT APPROVAL**

**MERIT INCREASE**

Yes    No    Not Applicable

**PROBATION**

End    Extend    Not Applicable

I have personally discussed the content of this document with the employee  
SUPERVISOR SIGNATURE/TITLE:

DATE

REVIEWER SIGNATURE/TITLE:

DATE

AGENCY HEAD SIGNATURE/TITLE:

DATE

USE THIS SPACE TO DOCUMENT ADVERSE DECISIONS ON MERIT INCREASE OR PROBATION:

## Instructions for Use of the Performance Management Form

The Performance Management Form is designed to serve both as a planning document and a performance management tool. The form is used at the beginning of a rating period to develop job expectations, during the rating period as necessary to document changes to performance expectations or progress toward developed expectations, and at the end of the rating period to document performance during the rating period. It consists of ten sections:

|            |   |
|------------|---|
| Section 1  | General Information   |
| Section 2  | Concise Description of Major Job Responsibilities             |
| Section 3  | Performance Expectations                                      |
| Section 4  | Assessment of Personal Attributes Relating to Job Performance |
| Section 5  | Employee Development Plan                                     |
| Section 6  | Periodic Review   |
| Section 7  | Overall Performance Rating                                    |
| Section 8  | Additional Comments by Supervisor                             |
| Section 9  | Employee's Comments and Signature                             |
| Section 10 | Management Approval   |

### **FORM PREPARATION AT THE BEGINNING OF A RATING PERIOD**

At the beginning of the rating period (upon initial appointment, promotion, demotion, reassignment, transfer, or at the beginning of each annual performance review period), the supervisor and employee:

- Complete Section 1
- Discuss and develop the responsibilities and expectations for the coming rating period, completing Section 2 and the "Expectations" in Section 3.
- Discuss and agree upon a developmental plan and complete the first three columns of Section 5. **NOTE: This section is optional, but it must be completed if the employee did not meet expectations from the previous rating period or if the employee has been rated less than satisfactory on any personal attribute in Section 4.**
- The supervisor reviews the completed sections with his or her manager and obtains approval. The completed form, with responsibilities, expectations and developmental plans entered, makes up the employee's performance plan for the rating period. Both employee and supervisor keep a copy for future reference.

### **USE OF THE FORM DURING THE RATING PERIOD**

From time to time it may be necessary for an employee and supervisor to discuss changing expectations, or progress toward previously developed expectations. Section 6 is used to document these discussions. Either the employee or the supervisor may initiate discussions as necessary. The employee and supervisor should date and initial each such session. **NOTE: Supervisor must review job performance with all new employees after three months of employment.**

### **USE OF THE FORM AT THE END OF THE RATING PERIOD**

At the end of the rating period, the employee and supervisor use the form to evaluate and record the employee's performance. It is strongly recommended that the supervisor and employee jointly develop this evaluation. All supervisors should read "Overview and Instructions for Performance Management System", especially the guidelines for conducting the performance management interview. Provide the employee with a copy and file the original in the employee's personnel file.

- Summarize results toward expectations in Section 3.
- Evaluate the employee's personal attributes in Section 4. Document strengths and suggestions for improvement in the appropriate Comments section. **NOTE: If it has been necessary to discipline the employee during the rating period, the nature of the discipline and the results of the discipline must be documented on a separate sheet and attached to the performance management form.**
- Indicate actual progress toward developmental plans in Section 5.
- Rate the overall performance for the rating period in Section 7. **NOTE: The employee must receive a rating of "Met Expectations" or better in order to receive a merit increase.**
- Note any additional comments in Section 8. Allow the employee to make any comments the employee deems appropriate in Section 9.
- Obtain all necessary signatures and approvals in Section 10.

### **PREPARING A NEW FORM FOR THE NEXT RATING PERIOD**

The final product of the performance evaluation interview is a completed form for the rating period that has ended and a new form, with Sections 1, 2, 3, and 5 completed for the next rating period.

### **APPEALS**

Employees who are denied a merit increase may file an appeal with their department or agency head within ten (10) working days after notification of non-selection by the appointing authority. Please contact your personnel office for a full explanation of your rights and obligations under this appeals procedure.

Attachment 3  
Computation of Anniversary Dates

The following definitions provide the historic and current basis for determining anniversary dates.

1. Employees, including seasonals, who have received a merit increase in the past 12 months will retain their current anniversary dates. (See Personnel Bulletin 5.2a dated 11-1-71).
2. Employees, including seasonals, who have not received a merit increase within the past 12 months, use the date of their last merit increase regardless of the classification.
3. Anniversary dates for employees, including seasonals on probation prior to November 1, 1976 and who complete probation after that date will be the date that six-month's probation is completed.
4. Anniversary dates for employees, including seasonals, initially appointed or promoted on November 1, 1976 and thereafter will be the date of appointment. Permanent status may be granted at the end of six months in accordance with personnel rules. In cases of part-time employees who that more than 1 year to complete probation, the anniversary date will be the date of completion of probation.
5. New anniversary dates will be computed for those employees who, subsequent to their anniversary dates, take leaves of absence without pay. The calendar days of leave without pay will be added to the anniversary date to determine the new date. New dates will also be computed when an employee is suspended, resigns, laid off, retires, dismissed, or leaves without notice.
6. Anniversary dates for unclassified employees who resigned from the classified service to accept an unclassified appointment without a break in service will be the date of the last merit increase in the classified service.
7. Anniversary dates for initially-appointed unclassified employees will be the date of appointment.
8. Employees who transfer in the same range and who are required to serve a new probationary period, will retain their anniversary date from the old agency. In the event that the anniversary date occurs prior to completion of probation, the new date will be the end of six months probation.