

**DEPARTMENT OF ADMINISTRATIVE & FINANCIAL SERVICES**  
**Bureau of Human Resources**  
**#4 State House Station**

**January 12, 1996**

**HUMAN RESOURCES MEMORANDUM 2-96**

**TO:** Agency Personnel Managers

**SUBJECT:** Introduction to New Performance Management System

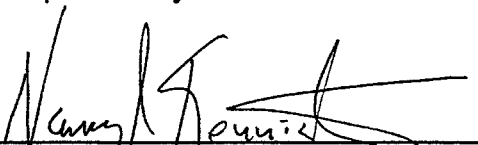
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Last year the State Quality Management Council sponsored a Process Action Team to develop a new performance management system in order to achieve the following goals:

- Establish clear and continuous communication between supervisors and employees on job responsibilities and performance expectations;
- Provide for regular revision of individual task statements and performance standards;
- Provide motivational and developmental opportunities and increased supervisory support for employees;
- Enhance supervisory skills and training in the performance management system; and
- Improve management of the organization.

You are invited to attend a brief informational session on this new performance management system on Monday, January 22, from 10:00 A.M to 12:00 Noon at the University of Maine, Augusta, Jewett Hall. The team will provide all who attend with a brief summary of the new system and the implementation plan that will be presented to the Maine Quality Management Council on January 24th.

Copies of the new Performance Management Form and instructional guides are enclosed, so that you can review these materials prior to the informational session.

We hope to see you on the 22nd.

  
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Nancy J. Kenniston, Director  
BUREAU OF HUMAN RESOURCES

Enclosures: Performance Management Form  
Performance Management System Overview & Instructions

# 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 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 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, 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;
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 well functioning 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. **On-going 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, agreed to by the supervisor and employee
- 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.

4. **Employee Attributes 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

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 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. POSITION NUMBER
7. PERIOD OF REPORT  From: <input type="text"/> To: <input type="text"/>	8. TYPE OF REPORT (Check all that apply)	
	<input type="checkbox"/> End of Probation	<input type="checkbox"/> Change of Rater
	<input type="checkbox"/> Annual	<input type="checkbox"/> Special Merit
	<input type="checkbox"/> Extension of Probation	<input type="checkbox"/> Merit Increase
	<input type="checkbox"/> New Assignment	<input type="checkbox"/> Termination

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

Blank area for describing 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:	
Result:	<input type="checkbox"/> Exceeded <input type="checkbox"/> Met <input type="checkbox"/> Did Not Meet
Expectation:	
Result:	<input type="checkbox"/> Exceeded <input type="checkbox"/> Met <input type="checkbox"/> Did Not Meet
Expectation:	
Result:	<input type="checkbox"/> Exceeded <input type="checkbox"/> Met <input type="checkbox"/> Did Not Meet

**SECTION 4 - ASSESSMENT OF PERSONAL ATTRIBUTES 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 quality and serves as a model for others

<b>CORE COMPETENCIES</b>	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. Takes action to meet customer needs. 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.			

<b>COMMENTS</b>	
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<b>KNOWLEDGE &amp; SKILL</b>	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.			

<b>COMMENTS</b>	
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**TERMS & CONDITIONS**

Needs Improvement

Satisfactory

**Works When Scheduled:** Begins and ends work when expected. 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.

**Dresses Appropriately:** Dresses appropriately for the job. Practices personal hygiene. 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 activities other than official business 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 and Interviewing:** Builds a strong team with complementary strengths. Forms the right structures and teams. Demonstrates leadership and holds employees accountable for 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 development 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 performance.	Planned Development/Training Activities Agreed Upon by Employer 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.

I  (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 previously 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 agree upon 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 individual 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.