



PHASE III
PERFORMANCE
EVALUATION

ePerformance Manager Guide
2009

Module Objectives

At the end of this module, you will:

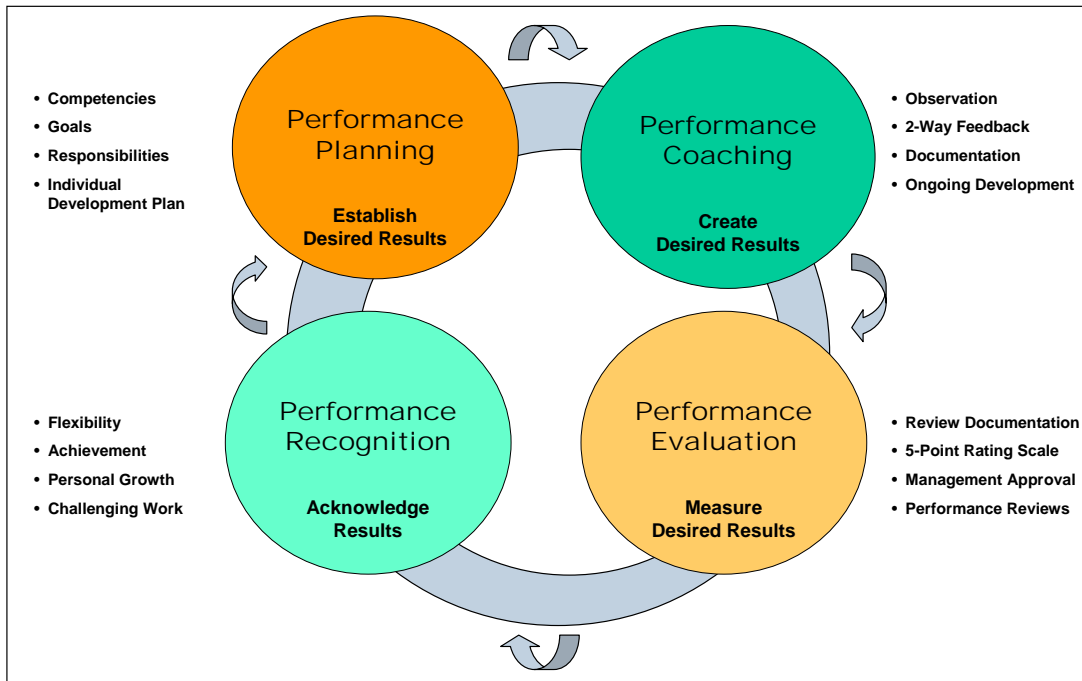
- Understand the steps in the performance evaluation process
- Review the descriptions for the 5-Point Rating Scale
- Learn how ePerformance creates a final rating based on section ratings and weightings
- Know the components of the performance evaluation meeting

Phase III: Performance Evaluation

- A review of the employee performance plan provides the manager with measurable outcomes used during the evaluation process to ensure consistency and objectivity in ratings.
- The manager assesses employee performance by measuring desired results against actual results.
- The employee completes a self-evaluation, the manager reviews and revises their evaluation based on measurable outcomes, uses the 5-Point Rating Scale that differentiates performance.
- The manager's evaluation of the employee is submitted to their manager, and HR, for review, revisions and approval.
- Performance is formally evaluated in a mid-year review and an annual review.



Performance Evaluation 4-Phase Model





Overview

At the end of the performance review period, the manager and employee evaluate and measure the desired results against the established performance expectations.

ePerformance allows the manager to focus on the measurable outcomes that result from successfully executing the planning and coaching activities.

The evaluation phase includes a review of every section in the performance plan.

Section 1: Results and fulfillment of Statewide Core Competencies

Section 2: Achievement of Individual Goals and Competencies

Section 3: Key tasks or activities within Job Responsibilities

Section 4: Review of development strengths and opportunities in the Individual Development Plan



- A key feature of ePerformance is the end-of-review-period evaluation process
- Evaluations measure the desired results against the actual results performed throughout the year
- Managers are able to review the performance plan(s) that includes...
 - Established competencies, goals, responsibilities, tasks and activities
 - Documented achievements in key tasks, activities and projects are recognized
 - Individual Development Plans (IDPs) created throughout the year



Types of Performance Evaluations

Annual (End-of-Year) Performance Evaluations

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

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

Interim (Mid-Year, Quarterly) Performance Evaluations

Although frequent informal feedback and communication between the manager and the employee is important, the manager should hold one documented, formal session midway through the performance period with each employee. Most agencies have one formal meeting and a mid-year performance evaluation, halfway through the performance period. Agencies may choose to have more frequent feedback sessions, such as quarterly evaluations. Managers should consult with their Agency Human Resources Office to determine the frequency of formal review sessions.

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

The benefits of an Interim Performance Evaluation:

- Provides the employee with a progress report that covers all areas of performance
- Gives the manager an opportunity to discuss performance deficiencies while there is time to improve
- By the end of the discussion, the manager and employee can determine a course of action
- The discussion can be documented in the Individual Development Plan



Performance Evaluation

Types of Performance Evaluations

There are two types of formal performance evaluations. While the process for evaluating the employee is the same for both, they serve different purposes:

Annual (*End-of-the-Year*)

- Formal evaluation that determines an employees' performance ratings for the year

Interim (*Mid-year / Quarterly*)

- Formal discussions where ratings are given on all the performance expectations in the performance plan



Performance Evaluation Process Steps

The evaluation phase engages the employee, the employee's manager, the manager's manager and HR.



Performance Evaluation ePerformance Process Steps

1. Employee completes a self-evaluation, which is then sent to the manager.
2. Manager completes the performance evaluation by measuring employee performance against expectations.
3. Manager sends evaluation to his/her manager for review.
4. Manager's manager approves or indicates changes, then it is sent to HR for approval.
5. HR will approve or indicate changes.
6. Manager then conducts performance evaluation meeting with the employee.



Role of Employee and Manager

Employee Self-Evaluation

The employee should conduct a self-evaluation that measures their desired performance results to the actual performance results. The employee establishes a rating for all performance competencies, goals and/or responsibilities for the past review period.

The employee rating is sent to the manager for input. The self-evaluation can provide valuable input and information that the manager can use when writing the employee's evaluation.

Manager's Evaluation

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

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

Ratings and Weighting

One of the best features of the ePerformance process is the systematic approach to calculating performance ratings. ePerformance automatically calculates each section in the performance plan and each section rating is combined to calculate the overall rating.

SECTION RATING CALCULATION

Goal #1:

Goal #2:

Goal #3:

Total the Ratings for Goal 1, 2 and 3 and Divide by the Total # of Goals:

Section Rating:

OVERALL RATING CALCULATION

Section	Weight	Avg. Section Rating	Weight x Rating
1	25%	4	100
2	50%	3	150
3	25%	5	125
TOTAL	100%		375 / 100

Overall Rating:



- ePerformance assesses each performance expectation individually:
 - **Section 1: Statewide Core Competencies**
 - **Section 2: Individual Goals/Competencies**
 - **Section 3: Job Responsibilities**
- ePerformance rates each section and calculates an overall rating for that section
- The ratings from each section are automatically weighted by importance
- The overall score is automatically calculated based upon the rated sections and weights



5-Point Rating Scale

The manager will base the employee performance rating on the achievement of competencies, goals and responsibilities outlined at the beginning of the year – along with changes throughout the year.

Example of Customer Service Performance Evaluation

Unsatisfactory Performer	Successful Performer	Exceptional Performer
<ul style="list-style-type: none"> ▪ Helpful: Fails to provide assistance and information to customers or begrudgingly provides minimal service; fails to identify or solve customer service issues; does not incorporate learning from past mistakes. 	<ul style="list-style-type: none"> ▪ Helpful: Willingly provides assistance and useful information to meet customer needs; takes appropriate actions to provide accurate information to customers; assumes ownership of customer issues and takes appropriate steps to correct problems. 	<ul style="list-style-type: none"> ▪ Helpful: Anticipates customer needs and goes “the extra mile” to provide service; takes ownership of customer issues, actively seeks ways to improve customer service; makes useful improvement suggestions to the appropriate manager or leader.
<ul style="list-style-type: none"> ▪ Accessible: Is difficult to contact in person or over the phone; takes an unreasonably long time in responding to customer requests and issues; fails to address reducing unreasonable customer wait times; fails to make information about services or the agency available to the customer when it is in their power to do so. 	<ul style="list-style-type: none"> ▪ Accessible: Is easy for the customer to contact in person or over the phone; responds promptly and courteously to customer requests and issues; ensures that customer wait times are reasonable; makes helpful information about services or their agency available to the customer. 	<ul style="list-style-type: none"> ▪ Accessible: Makes self fully available to the customer in person and over the phone by being flexible with time and schedule in order to provide services and information; finds ways to reduce customer wait times; identifies ways to improve the accessibility of information and services for the customer.

A manager reviews the documented performance of the employee’s customer service performance. The customer service competencies are reviewed and measured against the employee’s observable behaviors:

- The employee was helpful in that they willingly provided assistance and useful information to meet customer needs
- The employee took appropriate actions to provide accurate information to customers
- The employee was helpful once the customer got a hold of them
- The employee was not easily accessible in that it was difficult to reach them

Exercise

Factors to Consider

There are many factors to consider when evaluating an employee's performance.



Performance Evaluation Factors to Consider

■ Assess the following:

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



Reviewing the Individual Development Plan (IDP)

The manager reviews the goals, objectives, and activities outlined on the employee's IDP. Actual performance and accomplishment of activities should be compared to the identified activities, goals, and objectives. The manager is encouraged to review successful and unsuccessful results throughout the year.

There may be numerous reasons why items on the IDP were not completed. The manager should take into consideration the following:

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

Conducting the Performance Evaluation Meeting With the Employee

1. Take all information and documentation related to the employee's performance to the meeting.
2. Begin by explaining the purpose of the meeting. The purpose of meeting with the employee is:
 - To discuss the manager's evaluation of the employee's performance for the period
 - To discuss areas of accomplishment and areas where improvement may be needed
 - To develop plans to maintain or improve future performance (if this is the case)
3. Take notes to document the discussion and encourage the employee to do the same.
4. Emphasize to the employee that the meeting is a two-way conversation: a mutual review of the employee's prior year performance, which may involve a problem-solving and goal-setting exchange.
5. Refer to the Performance Management Plan and review the performance expectations established at the beginning of the period (and any modifications made later).
6. Remind the employee of the definitions of the rating scales.
7. Encourage the employee to comment on the self-evaluation first.
8. Review the ratings for each performance expectation.
9. Try to agree with the employee on appropriate action plans for improving performance (either in this meeting or in a future meeting specifically designated for development planning).
10. Summarize the major points of the discussion and explain how the overall ratings were derived.
11. Give the employee an opportunity to make additional comments.
12. Express confidence in the employee's desire to improve performance and offer any assistance that might help the employee to succeed.
13. Ask the employee to acknowledge approval of the form by indicating in the correct place.
14. Forward the completed form to the manager's manager for signature. Or meet with the manager's manager if the employee has refused to sign the evaluation or there have been any significant areas of disagreement to discuss the situation.



Performance Evaluation Conducting the Meeting

■ Managers can...

- Conduct two separate meetings
 - Meeting #1: Evaluation for current year
 - Meeting #2: Planning for upcoming year

- Conduct a combined meeting based on the nature of the discussion
 - Part #1: Evaluation for current year
 - Part #2: Planning for upcoming year



The Approval Process

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

Tracking and Reporting

- The **Manager Review Rating Report** will allow the manager to view the ratings of their direct reports
- The **Approver's Review Rating Report** will allow the manager's manager to view the ratings of their manager's direct reports
- The **Approver's Document Status Report** will allow the manager's manager to view the "completed" and "not yet completed" performance evaluations of their manager's direct reports.

Report Review Status Table

	Document Status	Approval Status
Manager Complete	In Progress	Not Submitted
Manager Submits	In Progress	Submitted
Manager's Manager Approval	In Progress	Approved
HR Admin Approval	In Progress	Approved
Manager "Available for Review"	Available for Review	Approved
Manager Review Held	Review Held	Approved
Employee Acknowledges	Acknowledged	Approved
Manager Complete	Complete	Approved

