



PHASE III
PERFORMANCE
EVALUATION

ePerformance Trainer Guide
2009

Module: Performance Evaluation

Module Total Time: 1 Hour

Trainer Goals:

- Provide an understanding of the evaluation process
- Discuss the benefits of the employee self-evaluation
- Review the management and approval processes
- Provide an overview of how sections are weighted and rated to contribute to the overall rating

Trainer Flow:

- Objectives
- 4-Phase Model
- Overview
- Types of Evaluations
- ePerformance Process Steps
- Role of Employee and Manager
- Ratings and Weighting
- 5-Point Differentiation
- 5-Point Rating Scale
- Factors to Consider
- Reviewing the IDP
- Conducting the Meeting
- Exercise: Conducting the Meeting
- The Approval Process
- Tracking and Reporting

Trainer Materials:

- Manager Guide
- Trainer Guide
- Appendix
- Easel Pad or Whiteboard
- Markers
- PowerPoint Slides

Manager Materials:

- Manager Guides for all participants

Overview

Trainer Notes:

The trainer's role is to instruct, discuss and demonstrate how to effectively evaluate, measure and rate employee performance during the mid-year and annual year performance evaluation periods.

Determine if the Agency has established the weighting scale for the upcoming year.

- If yes, identify the weighting scale for Sections 1, 2 and/or 3 PRIOR to the training session. Obtain approval to communicate the weighting scale during the training and inform the managers.
- If no, provide the manager with the previous year weighting (as an example only) and inform the managers of the timeline that the Agency will communicate the weighting scale for the upcoming year.

INTRODUCTION AND OBJECTIVES

SAY: Hello. Welcome to the Performance Evaluation module of the Georgia ePerformance Management Process training.

REFER TO GUIDE: Module Objectives

SAY: 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

ASK: What questions do you have regarding the objectives of this module? (Responses will vary).

SAY: The next slide illustrates how the evaluation phase measures the desired results that were established during the planning phase and developed throughout the performance review period.

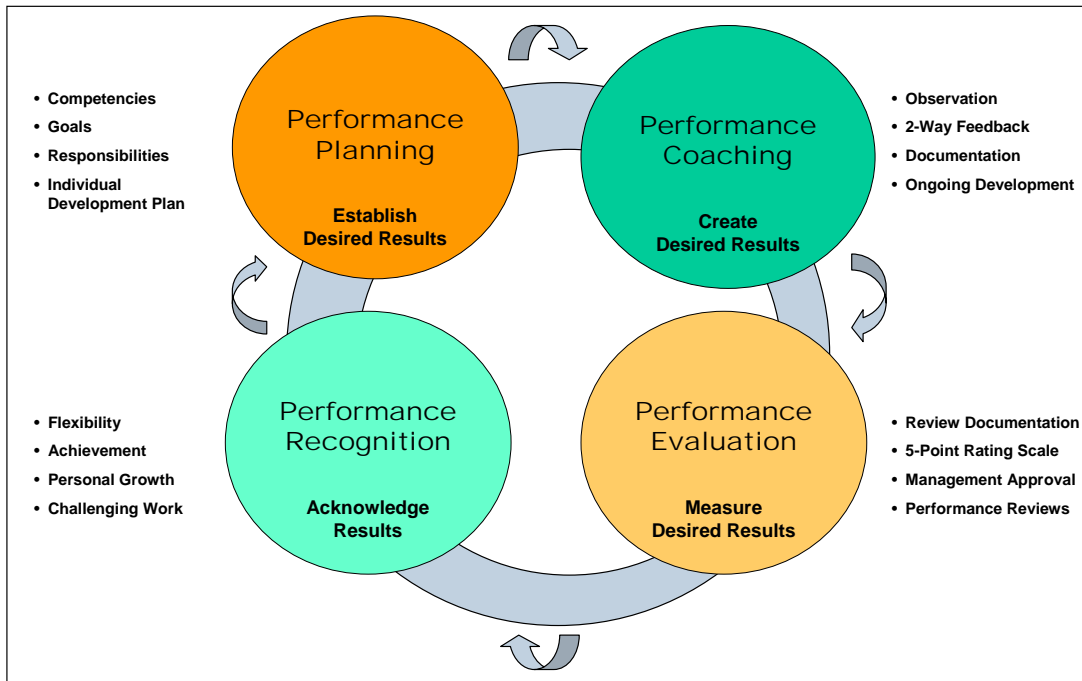
READ PPT: 4-Phase Model (PERFORMANCE EVALUATION ONLY).

SAY: Effective performance evaluation allows the manager and employee to participate in the process at the end of the performance review period. Employee performance is evaluated to MEASURE the desired performance results against the actual performance results. Managers are equipped with a systematic approach that automatically calculates each section in the employee performance plan.

REFER TO GUIDE: Phase III: Performance Evaluation



Performance Evaluation 4-Phase Model





SAY: Take a moment on your own to read the highlights of the performance evaluation phase on the left page in your guides.

Trainer Note: Allow 1 minute for participants to read the guide.

SAY: Let's take a look at the next slide that provides an overview of the Performance Evaluation Phase.

TRANSITION

Overview

READ PPT: Overview

SAY: As you see on the left page in your guides, ePerformance allows the manager to focus on the measurable outcomes that result from successfully executing the planning and coaching activities.

SAY: 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 (IDP)

SAY: This training module will provide an understanding on how Sections 1, 2 and 3 are calculated using the weights predetermined in the Planning Phase and the ratings that are determined by the manager and approved by management. This module will also acknowledge the value of reviewing the IDP during the evaluation process.

ASK: What questions do you have at this time? (Respond accordingly).

SAY: The next slide describes the types of performance evaluations.

TRANSITION



- 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

READ PPT: Types of Performance Evaluations

SAY: On the left page in your guide, you will find an overview of the annual and interim evaluations.

Trainer Note: Acknowledge if the Agency conducts formal interim evaluations. If the Agency does not require interim evaluations, as the following question:

ASK: How many of you conduct informal interim evaluations? (Responses will vary depending on the agency).

SAY: At the bottom of the page, you can follow along as I highlight the benefits of an Interim Performance Evaluation.

SAY: The interim evaluation provides the employee with a progress report that covers all areas of performance. It gives the manager an opportunity to discuss performance deficiencies while there is time to improve. At the end of the discussion, the manager and employee can determine a course of action and the discussion can be documented in the Individual Development Plan (IDP).

SAY: Annual and interim evaluations are conducted using the same process in ePerformance. In 6 simple steps, a manager can begin with a review of the employee's self-evaluation and end with a results-based meeting with the employee.

SAY: Let's take a look at the 6 process steps in ePerformance.

TRANSITION



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

READ PPT: ePerformance Process Steps

SAY: As you can see, all of the key stakeholders are involved in this 6 step process.

SAY: One of the best features of ePerformance is that it is system generated, allowing the manager to keep track of the progress of the evaluation approval process. At the end of this module, you will see a sample report called the 'status table' that tracks the progression of the evaluation document.

ASK: How does this process differ from the current process of evaluating performance? (Responses will vary).

SAY: Take a moment to reflect back on your experiences with the previous evaluation process.

ASK: How involved was the employee in the evaluation process? (Responses will vary).

SAY: As mentioned earlier, one of the key features of ePerformance is that it provides an opportunity for the employee to complete a self-evaluation.

ASK: What impact would the employee self-evaluation have on the manager's effectiveness and efficiency during the evaluation process? (Responses will vary. Anticipated responses include 'no surprises' which reduces turnaround time, minimizes time at the formal meeting, minimizes disagreements during the evaluation meeting, improves understanding between the manager and employee, provides documentation that the manager may have missed, etc).

SAY: Let's take a look at the next slide that outlines the role of the employee and the manager in the evaluation process.

TRANSITION



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

READ PPT: Role of Employee and Manager

ASK: How many of you provide your employee with the opportunity to self-assess their performance BEFORE the formal evaluation process? (Responses will vary).

SAY: The goal of the shared evaluation process is to prevent the 'surprise' factor of performance evaluations. When the employee is involved in the process, they are demonstrating a responsibility for their performance EARLY in the evaluation process.

SAY: Managers are encouraged to support the employee self-evaluation process. One approach that the manager can take is to review the process in the last development session prior to the evaluation period.

SAY: Managers can also provide their employees with a few questions prior to completing the self-evaluation that will guide the employee to focus on measurable goals and results. The employee can use these questions to prepare for the self-evaluation.

SAY: Examples of questions include:

- Describe the goals established for the review period
- Which goals did you accomplish?
- Which goals did you not accomplish and why not?
- Which other objectives did you meet, beyond your stated goals?
- Which achievements are you most proud of?

ASK: How many of you use similar questions during the evaluation period? (Responses will vary).

SAY: Although the manager does not evaluate the employee self-evaluation, the employee's record of events, performance and accomplishments can help the manager accurately measure and assess the results achieved in the employee performance plan.

SAY: The next slide provides an overview of the ratings and weighting in the employee performance plan.

TRANSITION

Ratings and Weighting

READ PPT: Ratings and Weighting

Trainer Note: Prepare chart in advance. Chart should reflect exact layout of the Ratings and Weighting page in the guide.

SAY: 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.

SAY: On the left page of your guide, you may follow along as we review the process that ePerformance follows in calculating the section and overall ratings.

SECTION RATING CALCULATION

Goal #1: Exceptional Performer = 5

Goal #2: Successful Performer = 3

Goal #3: Successful Performer = 4

Total the Ratings for Goal 1, 2 and 3 and Divide by the Total # of Goals: $5 + 3 + 4 = 12$

Section Rating: $12 / 3 = 4$ (Remember, there are 3 section ratings that determine the overall 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: 3.75 rounds up to 4 (Successful Performer Plus)

SAY: ePerformance uses the following rounding rules:

0.0-1.49=1; 1.5-2.49=2; 2.5-3.49 = 3; 3.5-4.49 = 4; 4.5-5.0 = 5

ASK: What questions do you have regarding weights and ratings? (Respond accordingly).

SAY: Let's turn our attention to how the manager uses the 5-Point Rating Scale to determine the appropriate rating for each competency, goal and responsibility in the performance plan.

TRANSITION

5-Point Rating Scale

REFER TO PPT: 5-Point Rating Scale

SAY: Take a few minutes to read the slide or right page of your guide that describes the differences in the performance levels and ratings.

Trainer Note: Allow participants 1 minute to read slide.

ASK: What type of reactions will your employees have with the new rating scale? (Responses will vary. Anticipated response includes the differences between met and 3 levels of successful performance; ratings 2 through 5 are successful ratings; exceptional requires all expectations to be exceeded, etc.)

SAY: The 5-Point Rating Scale allows the manager to 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. Each employee is evaluated on their own merits, established in the Planning Phase and developed throughout the performance period.

SAY: Imagine that you have an evaluation session this afternoon. For now, you are going to focus on evaluating performance in the first section of the performance plan – Section 1: Statewide Core Competencies.

SAY: In your guide is the example of the Customer Service competencies to be evaluated. A manager has the ability to review the competencies for the unsatisfactory, successful and exceptional performer and evaluate actual results using the competencies and 5-Point Rating Scale.

SAY: Also, on the left page in your guide, you will find 4 bullets that represent documented actions that the manager can use to measure and evaluate how well the employee performed within the established competencies.

SAY: In your small groups, review the 4 bullets of documented actions and determine the performance rating for this employee.

SAY: All things considered, **you would rate them as Successful Performer – Minus (rating of 2)**. They were not unsatisfactory overall in the competency; however, they were not fully successful either. This is the same type of evaluation process to use when distinguishing between Exceptional Performer and Successful Performer - Plus.

ASK: What questions do you have for me at this time? (Respond accordingly).

ASK: There are additional factors that the manager can consider to determine the most accurate, objective and measurable performance rating. The next slide provides a list of factors to consider.

TRANSITION

Factors to Consider

REFER TO PPT: Factors to Consider

SAY: I would like your table groups to review a few of these factors and discuss your opinions on why the manager should consider the factor in evaluating, measuring and rating performance?

SAY: For example, let's take the first question, "Did the work achieve desired results or behaviors"? Why should a manager consider this? Anticipated response is that performance goals and responsibilities are established so that employee performance links to Agency/State goals. You will have 5 minutes to discuss 2 or 3 factors to consider.

Trainer Note: Allow participants 5 minutes to complete discussion.

SAY: Many of you use a similar approach to evaluating performance.

SAY: Many of you use an Individual Development Plan (IDP) during the evaluation process as well. Although it is not rated, it serves an important role in the evaluation process. The next slide provides an overview of the importance of reviewing the IDP.

TRANSITION



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)

READ PPT: Reviewing the Individual Development Plan (IDP)

SAY: 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.

SAY: On the left page of your guide, you will find a few reasons why an IDP may not be completed by the evaluation period. The manager is encouraged to objectively consider all internal and external barriers or changes that may have prevented the employee from reaching his/her desired performance results.

SAY: At the end of the manager's evaluation process, the manager and employee meet to discuss the employee's evaluation, accomplishments, improvements and development plans.

SAY: The next slide gives a full description of how an effective employee meeting can be conducted.

TRANSITION

Conducting the Meeting

READ PPT: Conducting the Meeting

SAY: On the left page in your guide, you will find the entire process for conducting the annual or interim meeting. Depending on if the manager is conducting 2 separate meetings, or a combine meeting, the approach is the same.

SAY: Take a few minutes to review the 14 activities listed in your guide and circle any/all of the activities that you currently utilize when you conduct employee evaluations.

ASK: What questions do you have regarding the individual exercise? (Respond accordingly).

SAY: Now that you have reviewed the state's recommendations on conducting a successful evaluation meeting, let's turn to an exercise that will allow you to share your best practices to help others in your group during their next evaluation.

SAY: In your guides, write down 1 or 2 best practices of managers in your group that have conducted successful evaluations.

Trainer Note: Allow participants 5 minutes to share their best practices.

SAY: The manager can be effective in the evaluation process when measurements have been established, development goals have been created, ongoing coaching has been provided and actual results can be compared to desired results.

SAY: The manager's effectiveness in the approval process will determine the effectiveness of other's involved in the approval process.

SAY: The next slide illustrates the management approval process.

TRANSITION

The Approval Process

REFER TO PPT: The Approval Process

READ GUIDE

SAY: Take a look at your guide and follow along as I read the 4 bullets on the approval process.

SAY: 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 review/approval. Once HR (reviews/approves) the evaluation, the manager conducts a performance evaluation meeting with the employee.

SAY: One example of the HR review/approval is the 'mass approval' function that allows HR/Agency leaders to 'mass approve' any/all ratings by level. For example, if an Agency wants to 'mass approve' all ratings with 2, 3 and 4, and independently review ratings with 1 and 5, ePerformance provides that flexibility.

ASK: What questions do you have at this time? (Respond accordingly).

SAY: The last slide provide a sneak peak on the tracking and reporting capabilities in ePerformance during the evaluation process.

TRANSITION

Tracking and Reporting

READ PPT: Tracking and Reporting

SAY: 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.

SAY: To the left of your guide, you will find a sample report that the manager can use to track the status of the evaluation as it moves through the approval process.

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

ASK: This concludes the Evaluation Phase training module. What questions do you have about the Evaluation Phase? (Responses will vary).

TRANSITION TO PHASE IV: PERFORMANCE RECOGNITION OR END SESSION.



■ Managers have 3 reports that track the performance evaluation process:

1. Manager's Review Rating Status

2. Approver's Review Rating

3. Approver's Document Status

