



State of New York

***Performance Evaluation: A Dynamic
Tool for Supervisors***

Participant Materials

Revised January, 2009

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The Performance Evaluation Training for Supervisors program is jointly funded through the negotiated agreements between the State of New York and the Civil Service Employees Association, Inc. and the negotiated agreement between the State of New York and the Public Employees Federation, AFL-CIO. Program administration and additional funding are provided by the Governor's Office of Employees Relations.

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INTRODUCTION

Welcome to *Performance Evaluation: A Dynamic Tool for Supervisors*. This course focuses on both the human dynamics and the forms involved in the performance evaluation process. The course addresses topics that will help you prepare performance programs and appraisals, and conduct performance evaluation meetings.

Supervisors have the important responsibility of ensuring that State and agency rules, regulations and policies are fairly and equitably applied to all employees within their work units. Supervisors, management's representatives, must balance organizational needs with employee rights on a daily basis. This is an essential and often difficult role. This course provides practical information to help supervisors be successful.

Topics in this interactive course include:

- writing tasks and standards
- assessing employee performance
- communicating and providing feedback in constructive ways
- writing performance appraisals
- conducting effective performance evaluation meetings
- helping employees build their skills and improve their performance

The course will provide an opportunity for questions and answers. Supervisors are encouraged to work with their labor relations, personnel, and/or human resources office for continued assistance, support, and guidance in the performance evaluation process.

We trust that this course will be of value to you, and thank you for your commitment to professional development.

TABLE OF CONTENTS

I.	GETTING STARTED	
	Course Objectives	1
	Agenda	2
	The Purpose of Performance Evaluation	3
	The Performance Evaluation Cycle	4
	Performance Evaluation...Not an Event – A Process	5
II.	COMMUNICATION FOR EFFECTIVE PERFORMANCE EVALUATION	
	Communication / Personal Styles Preferences.....	6
	Personal Styles Graph.....	7
	Working and Communicating with Personal Styles	8
	Two-Way Communication for Effective Performance Evaluation.....	10
	Practice with Communication	11
III.	THE PERFORMANCE PROGRAM	
	Creating the Performance Program/Job Responsibilities	13
	Steps in Identifying Tasks.....	15
	Resources for Responsibilities and Tasks	16
	Filling Out Forms: Where Do Tasks Go	17
	Developing Task Statements.....	18
	Practice Developing Task Statements	20
	Performance Standards.....	21
	How to Write Clear Standards	22
	SMART Standards.....	23
	Filling Out Forms: Where Do Standards Go?	24
	Not So Smart Standards.....	25
	Practice Developing Standards	26
IV.	EMPLOYEE PERFORMANCE	
	Observation and Assessment of Performance	27
	Documenting Observations	29
V.	PERFORMANCE FEEDBACK	
	Giving Feedback to Employees	30
	Behavior-Based Feedback	31
	Practicing Behavior-Based Feedback.....	32

VI. DEVELOPMENTAL ACTIVITIES

Employee Development Planning.....	36
Steps in Development Planning.....	37
Information Resources.....	39
Development Planning Worksheet	40

VII. FINAL APPRAISAL

The Appraisal	41
Filling Out the Forms: Where Does Appraisal Go?.....	42
Writing a Good Appraisal	45
A Sample Appraisal	46
The Appraisal Meeting.....	47
An Appraisal Meeting Experience.....	49

APPENDIX

The Smart Phrase Glossary.....	A-1
Constructive Feedback	A-2
Performance Evaluation Terms	A-3
Relationship of PE to Probation, Counseling and Discipline	A-6
Relationships Among Counseling, Discipline and PE	A-8
Steps in Performance Evaluation for CSEA-Represented Employees	A-11
Steps in Performance Evaluation for PEF-Represented Employees	A-13
Suggested Steps in Performance Evaluation for Employees Designated Management/Confidential	A-16
The Appeals Process.....	A-18
Documentation Presented to the Statewide Board	A-19
Evaluation Forms	

COURSE OBJECTIVES

Upon completion of this course participants will be able to:

- Identify the benefits of effective performance evaluation
- Write clear job tasks and corresponding SMART standards
- Assess employee performance in objective behavioral terms
- Provide feedback using two-way communication and incorporating personal styles
- Engage employees in jointly developing plans to build their strengths and improve job performance
- Conduct effective appraisal meetings

AGENDA

Start Up and Introduction

Overview of the Performance Evaluation System

Communication for Effective Performance Evaluation

- Personal Styles
- Two-Way Communication

Developing the Performance Program

Lunch Break

Developing the Performance Program – continued

Observing and Giving Feedback

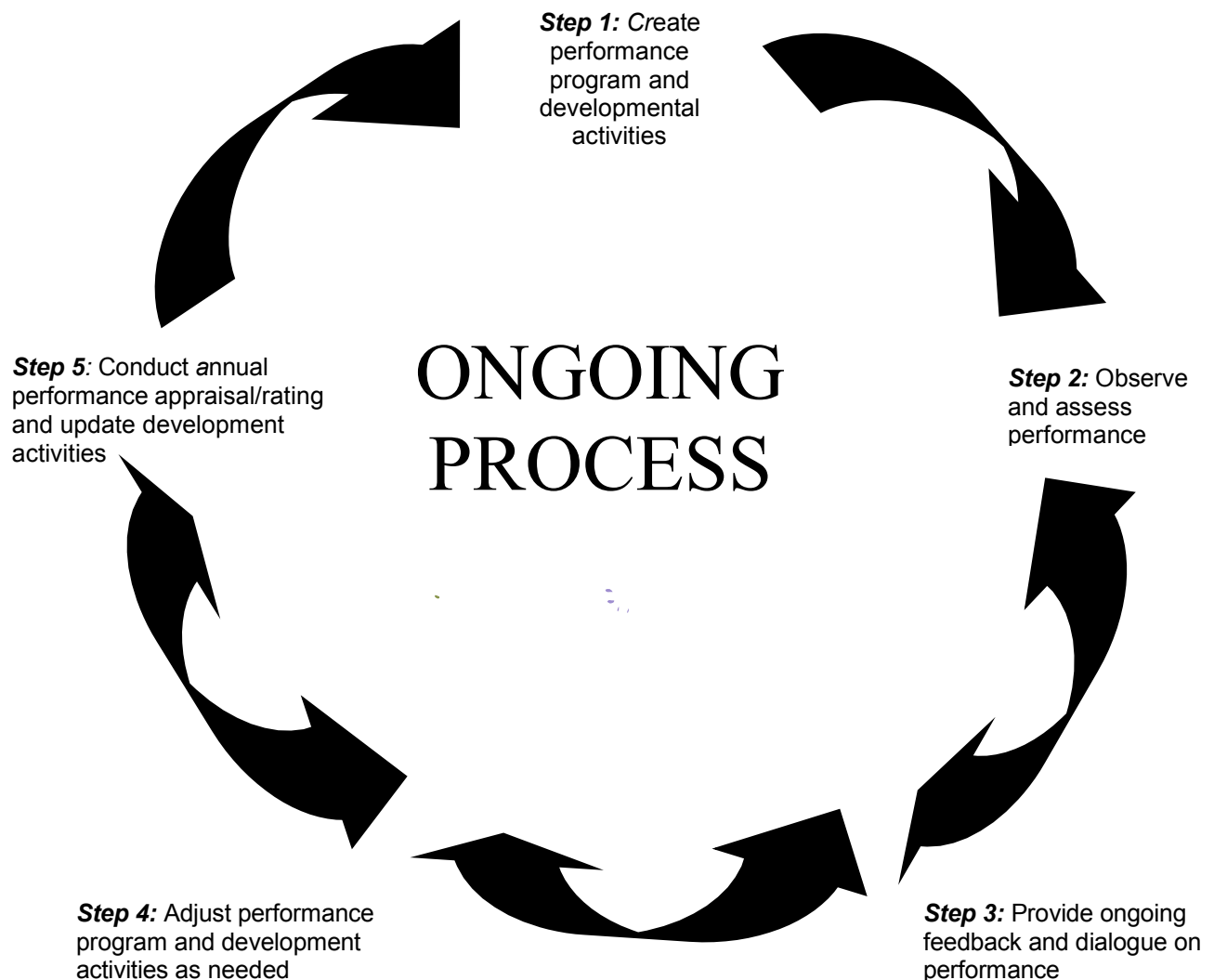
Employee Development Planning

Writing Appraisals and Conducting the Meeting

THE PURPOSE OF PERFORMANCE EVALUATION

- 1. Set Clear Expectations**
- 2. Establish Clear Performance Standards**
- 3. Provide Ongoing Observation and Feedback/Stay on top of situation**
- 4. Promote Employee Growth and Development**
- 5. Increase Communication**

PERFORMANCE EVALUATION CYCLE



PERFORMANCE EVALUATION.....NOT AN EVENT – A PROCESS

Performance evaluation is not a yearly *event* – it is an ongoing *process*. Each step in the process requires supervisors to maintain open and ongoing communication with employees.

1. *Create the Performance Program.*

- a. Prepare tasks (*What* must be done).
- b. Prepare standards (*How* it should be done).
- c. Review the program with employee to make sure it is understood.
- d. Identify employee development activities to help the employee meet performance expectations and grow professionally.

2. *Observe and Assess Performance.*

- a. Observe the employee's job performance on a regular basis.
- b. Assess job performance against the agreed upon tasks and standards.
- c. Ask "*Is the right job being done in the right manner?*"

3. *Provide Ongoing Feedback.*

- a. Provide ongoing feedback (positive and corrective) to the employee.
- b. Listen to the employee's assessment of how things are going.
- c. Conduct six-month review meetings, if required by the bargaining unit.
(For example, PEF requires a formal six-month review meeting and CSEA recommends but does not require one.)

4. *Adjust Program and Development Activities as Needed.*

- a. Make necessary adjustments to the tasks, standards and development activities as needed to keep them current and relevant.

5. *Conduct the Annual Performance Appraisal and Rating.*

- a. Assess the employee's job performance against the tasks and standards and complete the appraisal form.
- b. Follow steps for the appropriate bargaining unit for obtaining employee input and reviewer approval.
- c. Conduct a meeting with the employee to discuss the approved appraisal and rating.
- d. Identify development activities for the coming year.

COMMUNICATION

Effective performance evaluation is rooted in good communication. Completing the forms and appropriately following the process is important – but it is not the whole story. How you communicate with your employees is equally important. Your approach to communication can seriously affect the success of your performance evaluation efforts. It is the communication skills supervisors employ at every stage of the process that make performance evaluation meaningful and assure its positive impact.

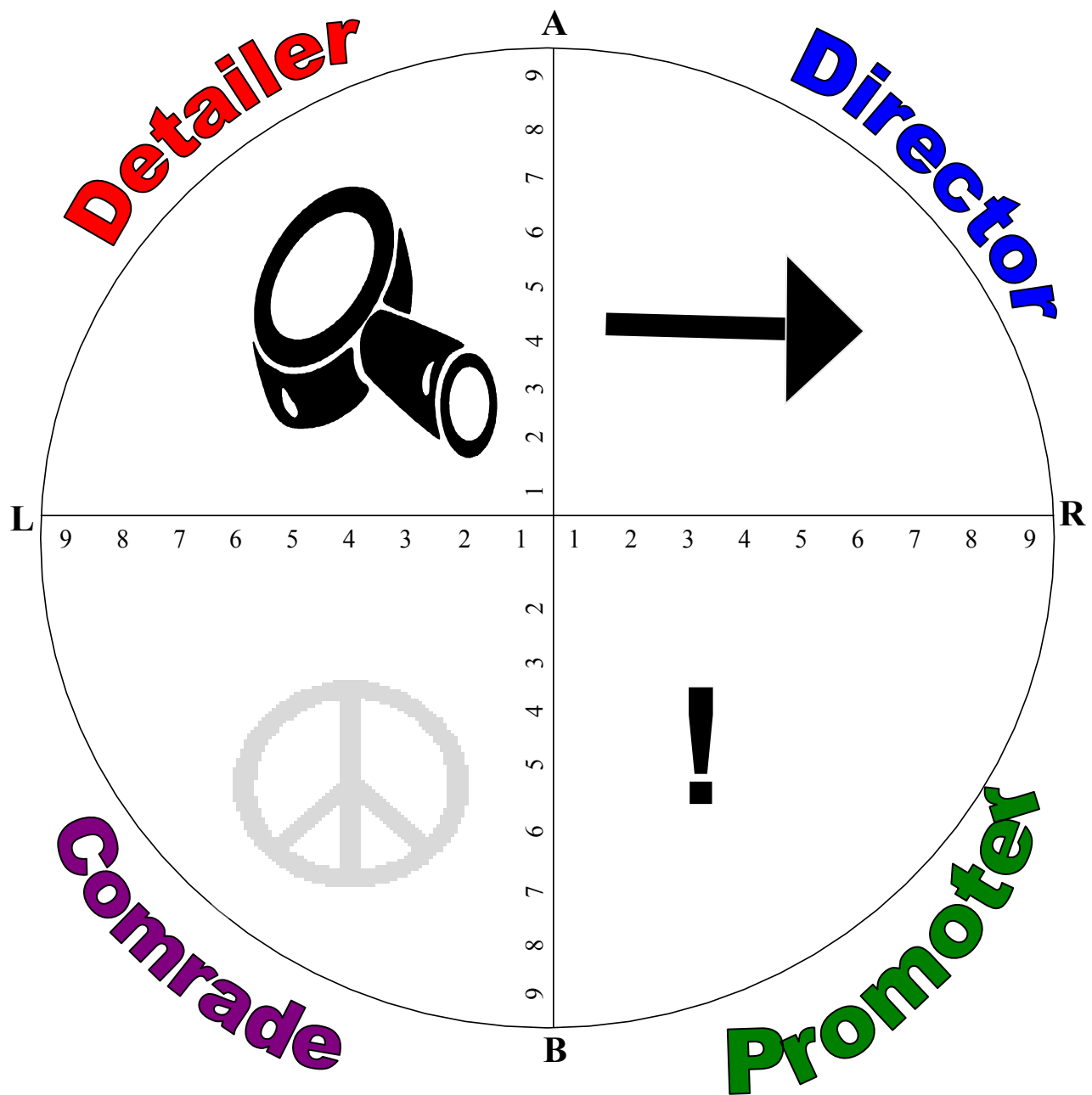
PERSONAL STYLE PREFERENCES

One major aspect of communication is personal style - how we approach life, work, and our interactions with others. Some of us are quiet and thoughtful – others are gregarious and outgoing. Some of us bring a real task orientation to work – others focus on the people in a situation first. Some of us like a predictable routine – others prefer frequent change and variety. Some of us prefer to work alone and enjoy analytical detail oriented work. Others may find working in this way doesn't suit them, and they prefer working with teams on creative projects.

One of four styles is more comfortable for us than others, and thus gets far more practice than the rest. As supervisors, we must be able to adapt our own preferences or “flex our style” to improve our communication with employees. Effective one-to-one interactions between supervisors and employees are the cornerstone of successful performance evaluation. If conversations with employees are stunted or uncomfortable, we may not achieve the desired outcome.

Prior to attending this course, you were invited to complete a Personal Styles Assessment online. This can help you identify your own personal style and gain experience with each of the four styles. The next step is to explore strategies for interacting effectively with employees who prefer the different styles to best meet their needs and achieve positive results.

PERSONAL STYLES



WORKING AND COMMUNICATING WITH PERSONAL STYLES

Successful communications depend upon your ability to flex to the style preferences of your employees.

DETAILERS	DIRECTORS
<p>TEND TO:</p> <ul style="list-style-type: none">• Be quiet and thoughtful• Be organized, detail oriented and thorough• Carefully consider the facts and data before acting• Focus on tasks• Focus on accuracy and completeness• Work well independently <p>What approach works best with detailers?</p>	<p>TEND TO:</p> <ul style="list-style-type: none">• Be direct and get right to the point• React quickly and decisively• Focus on the big picture• Enjoy being involved in several projects at once• Be action oriented• Focus on tasks, goals and results• Thrive on change <p>What approach works best with directors?</p>

COMRADES	PROMOTERS
<p>TEND TO:</p> <ul style="list-style-type: none">• Focus on the people issues• Avoid conflict / Strive for cooperation• Be agreeable and easy to get along with• Look for common ground• Get to know coworkers personally <p>What approach works best with comrades?</p>	<p>TEND TO:</p> <ul style="list-style-type: none">• Focus on group process/activities• Be future focused• Avoid routine and procedure• Enjoy change and variety• Volunteer for new projects• Have high energy <p>What approach works best with promoters?</p>

You can also have your employees complete the assessment at www.goer.state.ny.us/train/resources/PSsurvey/index.html

TWO-WAY COMMUNICATION FOR EFFECTIVE PERFORMANCE EVALUATION

"I know that you believe you understand what you think I said, but I'm not sure you realize that what you heard is not what I meant."

Robert McCloskey, Author and Illustrator

Naturally, we all wish to avoid this situation. To assure that you are sending clear messages and the employee is really *hearing* what you've said, practice two-way communication. Clear two-way communication is essential at every phase of performance evaluation. As you go through the program, and look at each step, you will see how the supervisor's ability to communicate with the employee impacts understanding of expectations, giving and receiving feedback, and gaining employee buy-in.

Four Keys to Two-Way Communication

- 1. Present ideas clearly**

- 2. Listen as much...or more...than you talk**

- 3. Pay attention to the entire message**

- 4. Flex your own style**

PRACTICE WITH COMMUNICATION

For each scenario, consider the given statements and the impact that each might have on the employee. Select the statement you feel is most appropriate and indicate why you chose it.

If you don't like any of the given responses, make up your own, explaining why you would use it.

1. A new employee has not been adapting very well into your work unit. You call the employee into your office and say,
 - a. "Sam, you don't seem to be getting along with the others in the work unit. You need to work on your interpersonal skills."
 - b. "Sam, let me tell you a story about the time I started a new job in a new town. Boy, was that tough for me. Not only didn't I know anyone at work I was.....etc., etc., etc."
 - c. "It's been two weeks that you've been here Sam. Tell me how you think things are going."
 - d. "Sam, I've noticed you have been spending a lot of time on your own during the day. Is something wrong?"

Which statement would you choose and why?

2. As you are walking through the office you suddenly remember you wanted to get some ideas from Jan about a new project the director has assigned your unit. You find Jan working steadily, as usual, at a neat and orderly workplace. You say,
 - a. "Hey Jan, sorry to interrupt but I just remembered that we wanted to talk about the new project. Here's what I've been thinking....." You go on to enthusiastically lay out your ideas.
 - b. "Hi Jan. You're not working on anything important are you? I'd like to pick your brain."
 - c. "Hey Jan. I see you're busy. You're such a detailer. I wish I had more organization like you."
 - d. "Hi Jan, sorry to interrupt. I'd like to set a meeting with you to talk about the new project. We need to get something to the director by next Friday. Have you got some time on your calendar to get together with me for an hour?"

Which statement would you choose and why?

3. Fran is a long time employee who is not the most enthusiastic worker in your unit. You find that on a pretty consistent basis you have to ask Fran to re-do an assignment. You really want to correct this and you say,
- a. "Fran, do you know how many times I've had to ask you to re-do things like this?"
 - b. "Fran, what's your take on why this kind of work keeps coming back to you?"
 - c. "Fran, I am getting a lot of feedback from others in the unit that your work is often incorrect."
 - d. "Fran, there's a class coming up on organizational skills. I'd like you to take it."

Which statement would you choose and why?

4. It seems you have asked Lou a hundred different ways to take care of a task but it never gets done the right way. You are getting frustrated and you say,
- a. "Lou, I've asked you in at least a hundred different ways to do this and you still do it wrong! What's the deal?"
 - b. "Lou, are you trying to tell me something?"
 - c. "Lou, if you can't learn to do this the right way we're going to have a real problem."
 - d. "Lou, can you walk me through what you understand I'm asking for and how you are going to get the job done?"

Which statement would you choose and why?

CREATING THE PERFORMANCE PROGRAM

As the supervisor and employee begin the process of creating the performance program, their first step is to clarify what the employee is expected to do. Three components contribute to understanding the job:

- Job responsibilities
- Tasks to meet the responsibilities
- Standards to measure effective performance

JOB RESPONSIBILITIES

Developing the performance program begins with a statement of the employee's key job responsibilities. Responsibilities can be expressed as broad areas for which an employee is accountable. Normally a position will have only a few core responsibilities.

Examples of job responsibilities:

Patient care	Administration
Security	Bookkeeping
Licensing	Reception
Budget	Mail
Purchasing	Real estate transactions
Maintenance	Road construction
Information technology	Counseling

TASK STATEMENTS*

The next part of the process is to describe the employee's actual work — the activities, assignments, and results the employee is expected to carry out or produce within a responsibility area. Tasks more discreetly describe what the employee is doing on a regular basis. Tasks do not include *"how to do"* or *"how well to do"* the work. Those will come into play when talking about standards.

Task Statements should:

- Clearly define, and specifically describe actual work to be done (verb and noun) to meet the overall responsibilities of the employee
- Be specific, but not so narrow that there are too many to list
- Account for a significant amount of the employee's time
- Be important in relation to the goals of the job, unit, and agency

Examples of task statements for some of the above responsibilities:

- Conduct security check-in of visitors to facility
- Direct applicants to license materials/waiting area
- Maintain campus grounds
- Administer medications

***NOTE: The PEF forms use the terms “tasks” and objectives” interchangeably. For simplicity, the term “task” is used consistently throughout this program.**

STEPS IN IDENTIFYING TASKS

Start with Job Responsibilities

1. Think about the employee's entire job.
2. Review all available information about the job – Civil Service classification information, agency job description, prior performance evaluations, input from former supervisor, etc.
3. Identify the *outcomes, outputs or results* the employee is responsible for.
4. Settle on the small number of key responsibilities the employee is accountable for. These should be in line with unit and agency goals and objectives.

List Tasks that Meet the Responsibilities

1. Break each responsibility into the tasks the employee must do to meet that responsibility.
 - Task statements should be concise groupings of daily activities that together give a clear picture of the job.
 - Not every activity an employee does will be listed as a task – for most jobs that list could be many pages long.
 - Tasks should support work unit and agency goals and objectives.
 - Tasks should be consistent with an up-to-date job description.
2. Develop the list of tasks that will form the performance program.
 - Rank the tasks in descending order of importance.
 - Modify the tasks so that the final statements are clear, complete, specific, and behavioral.
3. Meet with the employee to review the responsibilities and tasks and assure that you and the employee agree on what they mean and what is expected.

Remember: The supervisor has the final responsibility for identifying the employee's key responsibilities and tasks.

RESOURCES FOR RESPONSIBILITIES AND TASKS

Listed below are resources supervisors can access in developing responsibilities and tasks.

- Existing tasks/objectives within the agency or unit – employees in similar positions
- Job descriptions – agency-specific and/or Civil Service classification standards
www.cs.state.ny.us/cc/tsplan.cfm
- Dictionary of Occupational Titles – www.occupationalinfo.org
- Discussions with the employee
- Discussions with peers or higher level supervisors
- Production reports/work assignments sheets
- Past work practices within the agency
- Earlier performance evaluation reports
- Observation of the work the employee performs

FILLING OUT THE FORMS: WHERE DO TASK STATEMENTS GO?

Both the PEF and CSEA forms include sections for listing tasks/objectives. If you need more room to list all of the employee's tasks/objectives, write "see attached" in these spaces and attach a sheet that includes all tasks/objectives.

CSEA Form

SECTION 2A – PERFORMANCE PROGRAM

List the important tasks of the jobs and briefly describe how you expect each to be performed. Your expectations should be expressed in terms of quality and/or quantity where possible.

- 1.
2. *Write tasks here or indicate they are attached.*
- 3.
- 4.
- 5.

SECTION 2B – PERFORMANCE APPRAISAL

Describe the employee's performance in accomplishing the tasks specified in Section 2A. Explain how the employee's performance met, exceeded or failed to meet your expectations.

- 1.
- 2.
- 3.
- 4.
- 5.

PEF Form

SECTION 2 – PERFORMANCE PROGRAM

A. **TASKS/OBJECTIVES:** List the major tasks, assignments, activities, and results to be achieved during the evaluation period.

- 1.
2. *Write tasks here or indicate they are attached.*
- 3.
- 4.
- 5.

B. **PERFORMANCE STANDARDS:** List observable criteria for determining if objectives/tasks are fully met/performed. Criteria should be quantitative wherever possible

- 1.
- 2.
- 3.
- 4.
- 5.

DEVELOPING TASK STATEMENTS

The example of a Keyboard Specialist (KBS) in a typical New York State agency will be used to look at how a performance program is developed. In this section, the focus is on developing tasks. The KBS example will be continued as the rest of the process is reviewed.

Step One: Key Responsibilities

Through review of the KBS's entire job, four *key* responsibilities are identified:

1. Program Materials/Supplies
2. Mail
3. Phone/Reception
4. Database Management

Step Two: Activities

List activities for each responsibility. There are many activities the employee does to fulfill each of the four responsibilities. For the first key responsibility, Program Materials/Supplies, the activities could include:

- Inventory materials and supplies: application forms, data sheets, record forms, binders, file folders, boxes, tape, labels, etc.
- Requisition materials
- Store materials and supplies
- Send out inquiries to program staff regarding need for materials
- Receive orders from program staff including what materials are needed, in what location and by what date
- Draw materials from storage, collate and assemble binders
- Pack prepared materials, seal and label box for shipping to designated recipient
- Determine shipping method for materials
- Contact carrier to arrange for pick up of materials to be shipped
- Record shipment data – weight, charges, date of shipping, confirmation of delivery
- Communicate with receiving staff/representatives to confirm delivery, rectify problems

Step Three: Tasks

Group the activities into tasks. You would not want to list all of the activities on the previous page on the performance program, so look for how they can be grouped to produce more concise task statements. Two possible groupings emerge:

Activities	Task Statement
<ul style="list-style-type: none">• Inventory materials and supplies: application forms, data sheets, record forms, binders, file folders, boxes, tape, labels, etc.• Requisition materials• Store materials and supplies	<i>Maintain Materials/Supplies Inventory</i>
<ul style="list-style-type: none">• Receive orders from program staff including what materials are needed, in what location and by what date• Draw materials from storage, collate and assemble binders• Pack prepared materials, seal and label box for shipping to designated recipient• Determine shipping method for materials• Contact carrier to arrange for pick up of materials to be shipped• Record shipment data – weight, charges, date of shipping, confirmation of delivery• Communicate with receiving staff/representatives to confirm delivery, rectify problems	<i>Manage Delivery of Materials/ Supplies to Program Sites</i>

Make sure the tasks are well written. The task statements should meet the following criteria:

- *Specific* – They lay out “*what*” the employee is expected to do.
- *Observable* – The supervisor can observe them being done.
- *Appropriate* – They are well within the scope of the employee’s job.
- *Relevant* – The task is critical to the unit’s and agency’s daily functioning.

PRACTICE DEVELOPING TASK STATEMENTS

Indicate the Keyboard Specialist key responsibility assigned to your group.

Responsibility: _____

- 1. With your colleagues, create a list of the activities the KBS would undertake to fulfill this responsibility.**

- 2. Group the activities into three or four task statements.**

PERFORMANCE STANDARDS

Performance Standards are written descriptions of “*how well*” you expect the work to be performed. It is critical that the supervisor and the employee have a shared understanding of these performance standards. Well-written standards provide supervisors and employees:

- a clear picture about the quality of the work that is expected
- an objective and reliable way to evaluate performance
- specific benchmarks to compare actual performance with desired performance

HOW TO WRITE CLEAR STANDARDS

1. Let the tasks and activities be your guide in developing standards.

What are the desired results/outcomes from performing this task?

What is important about how the task is done?

What would tell you that the task was performed properly?

What would tell you the task was not performed properly?

What is important to customers or next in line staff?

2. Discuss standards with employees.

Engage employees in dialogue about standards development – get input from the employee’s perspective on what quality performance looks like.

3. Express the desired results in observable terms.

Well written standards are expressed in concise **behavioral** terms. This means that they are written in terms that clearly express **observable** outcomes.

A standard statement such as “in a timely manner” is not behavioral because it is not possible to express with accuracy whether it has been met or not. If, on the other hand, the standard were expressed as “within one hour of receiving the request,” there can be no equivocation about whether or not the service has been delivered within that time frame.

4. Make the standards *SMART*.

Specific – clear, precisely states what is expected

Measurable – how often, how many, in what way

Attainable – can realistically be completed

Relevant – clearly contributes to work unit/agency outcomes

Time-bound – by when is it to be completed

SMART standards use measurable action words, not personal traits or attitudes. The supervisor and employee should have common understanding of the words used, so that the communication is clear.

SMART STANDARDS

Qualitative Standards

- Completes according to an existing department standard for (task)
- Completes accurately, with no more than (# or %) errors or complaints

For example:

Gives the right medication to the right patient at the right time 100% of the time

Quantitative Standards

- Maintains average rate of (# or %)
- Completes specific number of activities within a set timeframe (hour, day, week, etc.)

For example:

All office trash cans emptied every day

Timeliness Standards

- Completes work by (due date)
- Completes work in accordance with an existing schedule

For example:

Responds to requests within five business days of receipt

Manner of Performance Standards

- Conducts work in accordance with accepted professional, industry or agency practice for (task)
- Conducts work in accordance with a specific policy for decorum or procedure

For example:

Answers incoming calls by stating name and name of agency

FILLING OUT THE FORMS: WHERE DO STANDARDS GO?

On CSEA forms record the standards on how you expect each task to be performed in Section 2A. You may include performance standards on an attachment.

SECTION 2A – PERFORMANCE PROGRAM

List the important tasks of the jobs and briefly describe how you expect each to be performed. Your expectations should be expressed in terms of quality and/or quantity where possible.

- 1.
2. *Standards are included with tasks written here or an indication made that they are attached.*
- 3.
- 4.
- 5.

SECTION 2B – PERFORMANCE APPRAISAL

Describe the employee's performance in accomplishing the tasks specified in Section 2A. Explain how the employee's performance met, exceeded or failed to meet your expectations.

- 1.
- 2.
- 3.
- 4.
- 5.

On PEF forms list standards in the second column of Section 2. You may attach an extra sheet.

SECTION 2 – PERFORMANCE PROGRAM

A. TASKS/OBJECTIVES: List the major tasks, assignments, activities, and results to be achieved during the evaluation period.

- 1.
- 2.
- 3.
- 4.
- 5.

B. PERFORMANCE STANDARDS: List observable criteria for determining if objectives/tasks are fully met/performed. Criteria should be quantitative wherever possible

- 1.
2. *Standards are written here or an indication made that they are attached.*
- 3.
- 4.
- 5.

NOT SO SMART STANDARDS

Not So Smart Standard: *In a timely manner*

Rewrite:

Not So Smart Standard: *Showing Initiative*

Rewrite:

Not So Smart Standard: *With good customer service*

Rewrite:

PRACTICE DEVELOPING STANDARDS

Instructions: Select two of the Task Statements you developed for the Keyboard Specialist, and write two-three SMART standards for each.

1. KBS Task/Objective Statement: _____

SMART Standards:

2. KBS Task/Objective Statement: _____

SMART Standards:

OBSERVATION AND ASSESSMENT OF PERFORMANCE

Supervisors are responsible for determining whether employee's performance meets, fails to meet, or exceeds the standards the supervisor and employee have agreed upon. Supervisors use observation and assessment to make this determination.

Behavior-Based Observation

Supervisors need to focus on **behavior** rather than on non-behavioral elements such as opinions or perceptions about a person's attitudes or traits. Supervisors should be evaluating the person's performance, not the person.

What are behaviors?

- They are actions a person takes or does not take.
- They are observable and measurable.
- They can be described, recorded, and discussed objectively.

What are perceptions, opinions, attitudes and traits?

- Perceptions and opinions about a person are formed from observing behavior and drawing conclusions about what the person is "really like." These conclusions can be influenced by the supervisor's biases, values and beliefs.
- Attitude is a mindset or the way an individual looks at things. We can't directly observe someone's attitude. We can observe behavior, but only *infer* attitude.
- Traits are often generalized, global descriptors that lack specificity.

Why is it a problem to talk about perceptions, opinions, attitudes, or traits?

- They are subjective.
- They cannot be observed, measured or recorded.
- They tend to remain fixed even if the employee changes his or her behavior.
- They are subject to misinterpretation.
- They represent what the supervisor thinks about the employee, not what the supervisor observes about the employee.
- Employees can become more defensive or emotional, because they can feel personally attacked.

OBSERVING AND ASSESSING PERFORMANCE

Supervisors have a responsibility to recognize and reinforce strong performance by an employee, and identify and encourage improvement where it is needed. Effective supervisors build occasions into the workweek to observe employee performance, understand what employees do, and talk with and get feedback from employees. This lets the supervisor see employees when they are performing at their best and to recognize areas in which their performance could be improved.

What do you look at and consider to gauge how well an employee is performing?

What do you do when you cannot be present to directly observe performance?

DOCUMENTING OBSERVATIONS

Supervisors should keep records of the employee performance that they have observed. These records and notes will aid in feedback conversations, providing documentation about what the employee has and has not done during the time in question. This documentation will also be an important resource to the supervisor in writing the annual appraisal, which addresses a year's worth of performance.

In the event the supervisor rates the employee "unsatisfactory," documentation is very important as the record of information the supervisor is using to support the opinion that the employee has not met the standards in his or her performance program.

Examples of useful documentation include:

- Supervisor's notes of observed behavior, including dates
- Feedback from customers – thank you and praise as well as complaints
- Samples of work output
- Time and attendance records
- Congratulatory letters, memos
- Training certificates
- Reports for which the employee was responsible
- Satisfaction surveys reflecting the employee's tasks/objectives
- Incident reports
- Copies of counseling memos
- Supervisor's notes of meetings/agreements with the employee

GIVING FEEDBACK TO EMPLOYEES

What is feedback?

Feedback is an ongoing process of keeping employees informed about how they are doing. There are formal feedback points at specific times in the performance evaluation process. In addition, informal feedback can and should be given on a regular basis throughout the year. There are three types of feedback: informational, positive, and corrective.

- *Informational Feedback.* In this case you are simply sharing information with individual employees or your work unit on the progress or status of work.
- *Positive Feedback or Praise.* You praise employees for things they are doing well.
- *Corrective Feedback.* You identify problems or issues with employees, explore them, and make your expectations for future performance clear.

Why is feedback important?

Feedback is an effective tool for improving employees' performance. Feedback gives employees benchmarks for how well they are doing, reinforces their good performance and reduces the likelihood that problems will escalate or become a pattern. This assures that employees are always aware of what they are doing well and what needs to be improved. When the formal feedback points arrive there should be *no surprises*.

When do you give *formal* feedback?

- Mid-Point Six-Month Review
 - Required by PEF
 - Recommended by CSEA
- Annual Appraisal Meeting

What if action beyond feedback is needed?

Sometimes your observations will uncover a problem that requires more than feedback. A few situations will warrant counseling, and even fewer will require formal discipline. If the performance or behavior is serious enough to warrant counseling or discipline, do not wait until the final appraisal to address these issues. Contact your manager or human resources office for guidance. More information about counseling and discipline can be found in the Appendix on page A-8.

BEHAVIOR-BASED FEEDBACK

Feedback should be based on observable and measurable behavior — not on personal traits. Behaviors can be observed, described, and discussed objectively. Behavior-based feedback focuses on actions (*what* was said and done) rather than motives (*why* it was said or done).

By observing and providing detailed feedback, a supervisor plays a critical role in the employee's continued success and motivation to meet performance expectations.

Behavior-based feedback should include the...

- **Behavior** you observed
- Specific **situation** in which the behavior occurred
- **Impact** the behavior had on you, co-workers, customers or the agency

Examples of behavior based feedback

When you arrived late to work (**behavior**) yesterday, it was the fourth time in two weeks (**situation**) that your co-workers had to cover the phones for you (**impact**).

When you lost control of the truck you were driving (**behavior**) to the bridge repair job site (**situation**), you endangered yourself and your co-worker and damaged the truck (**impact**). This could have been much more serious if someone had been injured (**potential impact**).

When you turned in the audit findings (**behavior**) yesterday (**situation**) with no mistakes and two days early (**behavior**), I was able to add it to my final audit report and turn it in two days early as well (**impact**). This made our bureau look good and puts us in favor with the director (**further impact**).

Guidelines for feedback

- Be descriptive and specific.
- Make it timely.
- Keep it future-focused.
- Record in your Supervisor's Notes.

PRACTICING BEHAVIOR-BASED FEEDBACK

Instructions: Look at each of the feedback statements below. With your small group determine if the statement is behavior based. To determine this, ask, “Can it be quantified?” “Can it be observed or measured?” If the feedback is not behavioral, re-write it so that it is.

1. You have a bad attitude.

2. You don't seem to care about your work.

3. You are very focused.

4. You are not a team player.

5. You have leadership potential.

PRACTICING BEHAVIOR-BASED FEEDBACK

Directions: Read the brief scenario and answer the questions that follow. The scenario continues the example of a KBS's job.

The setting: The unit supervisor and KBS are meeting for the recommended six-month review in the ongoing performance evaluation process. The supervisor wants to give feedback to the KBS on his/her observations during this time and to hear the employee's thoughts.

Dale, the Unit Supervisor: "Hi, thanks for coming in. I'd like to spend some time with you talking about how things are going. This is our six-month PE review meeting and, as you know, the desired outcomes are for you to leave here with a clear understanding of my own observations and for you to let me know how you feel it's been going. I'll give you direct feedback, and together we'll agree on what makes sense for the next steps. Is that what you understood we'd be meeting about?"

Jan, the KBS: "Yes, that matches my expectations. Your memo arranging for this meeting laid everything out pretty well. While I'm here, can we also talk about that call I got from Mary Jones about arranging training sessions she wants for the production unit?"

Dale, the Unit Supervisor: "I agree that is important, and I do want to talk about it; but maybe we could discuss the training before the unit meeting later today. I think we should keep this one focused on performance evaluation, OK? To start this off, why don't you talk for a few minutes about how you feel things have been going? What's been going well, and what's been giving you trouble?"

Jan, the KBS: "OK, I think things have been going really well. I had a really good time putting together the slides for the big report to the division director. It was great working with the professional staff. They seemed to like my ideas and it felt good for me to have input. Basically I believe I've been keeping up with tasks, and the staff seems satisfied with the quality of work I've been doing."

"There is one thing I wanted to talk with you about though. I've gotten way behind on entering records – applications, completion data and things like that into that new database software program you picked out. It just seems that everything takes so much longer with this new program. I don't know if I'll ever catch up."

Dale, the Unit Supervisor: "Jan, I'm glad you brought this up. It's one of the things that was on my list to talk to you about. I know that the database is not current. As you know, it's very important that we have current information in the system, so it's a problem that you're not getting the entries in within three days like you're supposed to. Just last week I needed some information for a meeting and I went to the database and found that what I needed wasn't entered. So we didn't have what we needed for some important decisions. But, you know, Jan, we've been working together and known each other a long time. You *always* get things done and done well. I remember when you taught everybody in the unit how to use the e-mail program. You're a wiz with

Performance Evaluation Training for Supervisors

computers. I have the utmost confidence in your ability to figure out the new computer program to get all those records caught up. So, let's make sure that the backlog is taken care of by the end of next week, and then let's keep it up to date after that. OK?"

Jan, the KBS: "Well, I guess..."

Dale, the Unit Supervisor: "Great! Now the only other issue I want to bring up is the complaints I've been receiving from field staff about the materials shipped to their sites. It seems that in the past few months there have been some problems with the materials. A couple of folks have been pretty upset. You know how important it is to get the right materials on site."

Jan, the KBS: "This is news to me. I hadn't been told that there had been any complaints about materials. What kind of problems were there? When did this happen?"

Dale, the Unit Supervisor: "I don't have the specifics in front of me, but I think the problems run the gamut. Any idea why you've been making mistakes?"

Jan, the KBS: "I'm not sure I'm solely responsible for the problems. I've had some difficulty working with the two new Program Specialists, John and Meredith. Neither of them really follows the procedures that I set up for ordering materials and equipment. John tends to be late getting the information to me about what he needs, and he never keeps his electronic calendar up to date so I can't even guess about his schedule. Sometimes what he sends me is incomplete, and I have to try to hunt him down to get the information I need. He's a great guy. Really fun and friendly, and I'm sure he's terrific with the local agencies. He's just not very organized. Sometimes I'm left guessing about what to mail and when."

"Meredith just refuses to follow my procedures. Rather than use the forms that I've developed, she'll call me up and rattle off what she needs. She'll be off the phone before I've had a chance to even think. I just can't process things that fast. She always seems impatient if I try to ask her any questions – and I almost always have questions. I've tried asking her to use the proper forms and to follow the procedure but that hasn't worked. Frankly, she intimidates me."

"I tend to be able to work with everyone, but for some reason I'm really struggling with working with these two. I'm upset that now it's impacting my work."

Dale, the Unit Supervisor: "Jan, you're the most organized person I know. You also tend to get along well with everyone. I'm confident that if you talk to John and Meredith and show them the process and procedures to use, you'll work this problem out. So, I expect this to be resolved right away, OK?"

How do you think Dale did?

1. Dale did some things that were OK. List the positives you saw.

2. Dale might have done a better job giving feedback on the database issue. How could the three-part feedback model help Dale with this one?
 - a) Behavior observed

 - b) Specific situation in which the behavior occurred

 - c) Impact the behavior had on Dale, co-workers, customers or the agency

3. What might be going on in the situation between Jan and the Program Specialists?

4. What do you think Dale should have done regarding the situation in #3 and what would you recommend happen next?

EMPLOYEE DEVELOPMENT PLANNING

One of the major benefits of an effective performance evaluation process is that it provides an opportunity to help improve or enhance employee performance. New York State recognizes that its workforce is its greatest asset. The State has a major interest in building and maintaining a high performance workforce, and providing a range of resources to help employees maintain their skills. In partnership with its unions, the State also provides opportunities for employees to build new skills and further their professional development.

Why discuss development planning with employees?

Employee development planning helps employees develop the knowledge, skills and competencies they need to:

- Meet the performance standards of their present jobs
- Grow within their present jobs
- Keep current in their fields
- Achieve future career goals

Together supervisors and employees can build development plans that address needs and take advantage of available opportunities. These conversations and the resulting plans send an important message to employees that supervisors are supportive of their growth, development and job satisfaction.

When do you discuss employees' development?

The six-month review and the final appraisal meeting are excellent times to discuss development needs and opportunities with employees. But, supervisors can and should discuss developmental opportunities anytime during the performance evaluation process when a performance gap occurs, the employee requests it, or an appropriate opportunity arises to support and encourage the employee's development and growth.

What developmental opportunities are available to employees?

STEPS IN DEVELOPMENT PLANNING

1. Shift the conversation from appraisal to development.

A natural follow-up to any conversation about job performance is to discuss what the employee can do to further build his or her strengths, address problems and enhance career opportunities.

2. Establish objectives for future development with the employee.

- Focus on three primary areas:
 - Skills/competencies that are below expectations
 - Job enrichment and career development
 - New skills that will be needed to meet anticipated job/responsibility changes
- State the desired outcomes and objectives. What competencies, knowledge, skills or behaviors are the focus of the plan?
- Make sure objectives are **SMART** – **S**pecific, **M**easurable, **A**ttainable, **R**elevant and **T**ime-Bound

3. Develop a plan or strategy to achieve the outcomes.

The plan or strategy lays out what the employee, with the supervisor's support, will do to reach the objectives. It includes:

- Specific action steps the employee will take
- Resources the employee will access
- Support the supervisor will provide
- Time frame for starting and completing the strategy and regular checkpoints
- Criteria the supervisor and employee will use to assess effectiveness of the strategy
- Written documentation. After the meeting, the plan should be written down by either the employee or supervisor and attached to the employee's performance program. Both parties should review the plan to ensure it accurately reflects the agreement.

4. Follow-Up to Development Planning.

Once the development plan is in place, the supervisor and employee each have actions to take to accomplish the established objectives.

- The supervisor should establish and maintain an environment that is supportive of the employee's efforts.

Performance Evaluation Training for Supervisors

- The supervisor should hold check-in meetings to discuss overall progress on the employee's development activities. Use the meetings to:
 - Listen to the employee
 - Give constructive feedback (positive and corrective)
 - Recognize and reward success
 - Catch and address problems
 - Promote continuous employee development
 - Revise the activities as needed
- The employee should actively pursue the steps needed to reach the objectives.

INFORMATION RESOURCES

For Information on Additional Training Opportunities

NYS Governor's Office of Employee Relations

2 Empire State Plaza

Albany, New York 12223

(518) 474-6772

www.goer.state.ny.us/train

GOER online website at www.goer.state.ny.us/train/onlinelearning

Office for Technology

State Capitol

Empire State Plaza

P.O. Box 2062

Albany, NY 12220

(518) 402-2537

www.oft.state.ny.us

New York State & CSEA Partnership for Education and Training

Corporate Plaza East - Suite 502

240 Washington Ave. Ext.

Albany, NY 12203

1-800-253-4332 or (518) 486-7814

www.nyscseapartnership.org

For Information on GOER Supervisory Programs

boddy@goer.state.ny.us

For Information on Tuition Programs and Career Resources:

NYS Governor's Office of Employee Relations

Tuition Assistance Programs for CSEA, PEF and MC

2 Empire State Plaza, 7th Floor

Albany, NY 12223

www.goer.state.ny.us/train/tuition/index.html

Career Mobility Office

NYS Department of Civil Service

Alfred E. Smith Building, First Floor, Room 175

Albany, NY 12239

(800) 553-1322 or (518) 485-6199

www.careermobilityoffice.cs.state.ny.us/cmo

DEVELOPMENT PLANNING WORKSHEET

The Situation: The Unit Supervisor, Dale, had a chance to re-do the six-month review meeting using the advice you gave Dale about giving feedback to Jan, the Keyboard Specialist. What Dale learned through good two-way communication is that Jan had never attended an actual training program on the database software having been out sick when it was given to other staff. Jan had used the documentation and tutorials to get by up to this point and that was not working out so well.

Instructions: In your table groups, help Dale prepare for a development planning discussion with Jan by completing the following:

1. What questions should Dale ask Jan in relation to the database issue?

2. Develop a SMART objective(s) for Jan's development in this area.

3. What can Jan do to reach the objectives and gain the knowledge and/or skills needed to get there?

4. What resources/supports could Dale provide and/or direct Jan to?

5. What other development might support Jan's professional growth in other areas?

THE APPRAISAL

The appraisal is the supervisor's *formal* written description of the employee's performance in accomplishing the tasks outlined in the performance program. The standards specified in the program are the benchmarks used to determine whether the employee's performance has met, exceeded or failed to meet expectations.

When doing the appraisal the supervisor also assigns the rating. In New York State employees are rated:

- Satisfactory – performing at or beyond expectations
- Unsatisfactory – clearly does not meet one or more expectations, even at a minimally acceptable level

See Appendix page A-4 for a complete description of ratings

Another aspect of the appraisal is the recommendations the supervisor can make for employee development. In some agencies supervisors have a format for creating professional development plans that can be used for this purpose. In others, supervisors may use the space provided on the forms and attach additional information as needed.

The appraisal consists of two major components:

- The supervisor's written assessment and rating – the document
- The meeting with the employee to discuss and formally provide this feedback

Note: There are different sequences established for CSEA- and PEF-represented employees for meeting with employees and final approval of the appraisal and rating. See the Appendix, pages A 11-15. (The Appendix also offers a recommended process for use with M/C employees.)

FILLING OUT THE FORMS: WHERE DOES THE APPRAISAL GO?

Include the appraisal in Section 2B of the CSEA form. Use an attachment if more space is needed.

SECTION 2A – PERFORMANCE PROGRAM

List the important tasks of the jobs and briefly describe how you expect each to be performed. Your expectations should be expressed in terms of quality and/or quantity where possible.

1.

2.

3.

4.

5.

SECTION 2B – PERFORMANCE APPRAISAL

Describe the employee's performance in accomplishing the tasks specified in Section 2A. Explain how the employee's performance met, exceeded or failed to meet your expectations.

1.

2. *Observations on employee performance are written here or an indication made that they are attached*

3.

4.

5.

Section 4 is used for comments and to recommend development.

SECTION 4 - SUPERVISOR'S COMMENTS

Comment on other aspects of the employee's performance (such as skills, behaviors, personal characteristics and time and attendance patterns), which have affected the employee's performance or the performance of other employees. Suggest ways in which performance can be improved.

Prepared by _____ *Supervisors can indicate that additional information is attached.* _____

(Print or type Name)

(Signature)

(Date)

Performance Evaluation Training for Supervisors

Section 5 is the Rating

SECTION 5 - PERFORMANCE RATING

Check the rating which best summarizes the employee's performance. A rating of "Unsatisfactory" must be supported by specific explanation and justification.

— **SATISFACTORY:** This is a broad category which covers a wide range of employees, all of whom are performing acceptably. It is the expected and usual level of performance. The employee generally meets performance expectations as specified in the performance program for all tasks and performs in a good, competent manner. This is the level which can minimally be expected from an employee in order for the work unit to function effectively.

The employee's performance may also be characterized as meeting minimal performance expectations for the job yet there may be areas of performance which should be improved. The employee may meet performance expectations for certain tasks or assignments, but some assignments may require extra follow-up and direction by the supervisor. It is only when the employee's performance clearly shows that it is below the expected performance level that a rating other than "Satisfactory" should be considered.

Note: Because this rating covers a wide range of performance, supervisors may want to consider the length of time the employee has been in the job as appropriate (i.e., employees in the same job title may be performing satisfactorily but at different levels due to length of time and/or experience on the job).

— **UNSATISFACTORY:** The employee clearly does not meet performance expectations for one or more tasks, not even at a minimally acceptable level. The employee requires significant extra direction, or the supervisor finds it necessary to avoid assigning normal tasks to the employee. The employee cannot be relied upon to carry out critical assignments in a timely and effective fashion. There is a need for immediate and significant improvement in performance. **Appeal Rights:** Only ratings of UNSATISFACTORY are appealable. Disputes concerning issues such as an employee's performance program, and the rating and appeals process are not subject to appeal. Employees must file an appeal within **15 calendar days** of the receipt of an UNSATISFACTORY rating. Appeals forms and procedural information are available from your personnel office. Employees have the right to a personal appearance and to CSEA-designated representation before the Appeals Board.

Performance Evaluation Training for Supervisors

For PEF:

Provide your observations on actual performance in Part II, Section 2, of the Professional, Scientific and Technical Services Unit (PEF) form.

SECTION 2 – SUMMARY OF ACTUAL PERFORMANCE DESCRIBE THE EMPLOYEE'S PERFORMANCE IN ACCOMPLISHING TASKS OR ACHIEVING OBJECTIVES SPECIFIED IN PART I, SECTION 2A. EXPLAIN HOW THE EMPLOYEE'S PERFORMANCE HAS EITHER EXCEEDED OR NOT MET THE PERFORMANCE STANDARDS. BE AS SPECIFIC AND QUANTITATIVE AS POSSIBLE.

1.

2.

3.

4.

5.

6.

7.

(Attach additional sheets, if necessary)

Section 3 is used for comments and to recommend development

SECTION 3 – RECOMMENDED TRAINING, DEVELOPMENT AND PERFORMANCE IMPROVEMENT ACTIVITIES

Note that in many instances, the implementation of recommended performance improvement activities may result in the assignment of more complex tasks/objectives appropriate to the employee's title. If so, the performance program should reflect these revised assignments.

<i>Supervisors can indicate that</i>
<i>additional information is attached</i>

Section 4 is the rating.

SECTION 4 - PERFORMANCE RATING

- o Check the rating, which best summarizes the employee's performance, as described in Section 2. Refer to descriptions of ratings below

☐ SATISFACTORY

☐ UNSATISFACTORY

SUPERVISOR _____ SIGNATURE: _____ DATE _____

REVIEWER _____ SIGNATURE: _____ DATE _____

WRITING A GOOD APPRAISAL

Like the informal feedback discussed earlier, appraisal statements should be clear, behavior-based expressions of what the supervisor has observed. Appraisals should be phrased in terms of the standards that are included in the employee's performance program and thus written in SMART terms.

For example:

Too broad:

"John's performance during this rating period exceeded expectations."

SMART statement:

"John's performance during this rating period was excellent. Every assignment was completed by or before deadline with an accuracy of 95%."

This makes it clear to all just what "exceeded expectations" means.

or

Too broad:

"John needs to improve the quality of his work."

SMART statement:

"Eight of the ten reports John submitted contained spelling and grammar errors."

This makes it clear what is needed to "improve the quality of his work."

A SAMPLE APPRAISAL

Since Dale and Jan's six-month informal review some things have gone along well and some things could still get better. The data entry problem has been resolved. Jan attended a training course and Dale helped Jan hook up with a KBS in another unit who is really good at this program and Jan learned some "tricks" and shortcuts for more efficient ways to use the program. Dale shifted some priorities to allow Jan time to catch up and the lag in entering records has been eliminated.

There is still a bit of a problem, however, with materials and supplies. Things got better immediately once Dale followed some advice from colleagues to do a better job of taking supervisory responsibility to improve communication among Jan, John and Meredith. The materials and supplies problem did not entirely go away though, so apparently something else has been contributing to the issue. Delivery has gone well on most of the reviews but Dale recently received an e-mail from a manager at one of the local agencies complaining that when the program specialist arrived on site none of the materials were there. They had to reschedule the review which was very inconvenient and might end up costing them money, because they need to have the results to get their funding.

Dale spoke with Jan about the problem right away and Jan promised to follow up and see what might be breaking down. They agreed to talk about it as part of their upcoming Appraisal Meeting. Dale also agreed to get some materials together as part of preparing for the meeting. In addition, Dale has to write out Jan's appraisal. Here's what it looks like:

SECTION 2A – PERFORMANCE PROGRAM

List the important tasks of the jobs and briefly describe how you expect each to be performed. Your expectations should be expressed in terms of quality and/or quantity where possible.

1. Task: *Maintain Database*

Standard:

- 100% of records entered within 3 days of receipt
- 100% of records retrieved within 1 day of receipt of request

2. Task: *Manage Materials/ Supplies Delivery to Program Sites*

Standard:

- Inquiry sent to Program Specialists requesting their materials/supplies needs for the month (15th of each month).
 - 100% of Pgm Spec's orders filled: right materials/supplies sent to right site at right time.
 - Materials/supplies arrive on site 3 days prior to Pgm Spec's visit
 - 100% of shipping problems rectified prior to scheduled visit.

SECTION 2B – PERFORMANCE APPRAISAL

Describe the employee's performance in accomplishing the tasks specified in Section 2A. Explain how the employee's performance met, exceeded or failed to meet your expectations.

1. After initial struggles with the software, since the midpoint in this rating period, Jan has learned and applied new computer skills and her performance meets expectations.

- Jan has learned and applied computer skills that contribute to meeting the standards for this task.
- 100% of records are entered within 3 days.
- 100% of records are retrieved within 1 day of request.

2. Jan's performance has been good.

- Monthly inquiries have been sent out on time every month during this period.
- 90% of Pgm Spec's orders have been filled with the right materials reaching the right site at the right time.
- 90% of materials/supplies have arrived on site 3 days prior to Pgm Spec's visit.
- 100% of shipping problems (3 of 3) have been rectified during this period.

THE APPRAISAL MEETING

The appraisal meeting is an important opportunity for the supervisor and employee to have a formal discussion about the employee's work during the rating period.

No Surprises! In an ongoing performance evaluation cycle, the supervisor and employee have been having regular conversations about what is going well, where there are opportunities for improvement, and strategies for the employee's continued development. Still, it is important that the supervisor be well prepared to enter into this conversation.

Before the Meeting: Prepare

- Know what you want to accomplish.
- Gather and review all the documentation you have been keeping.
- Consider the employee's personal style and how you may flex yours to assure good communication.
- Plan what you want to say and how to say it using good communication strategies.
- Think ahead about development that is appropriate and motivating for the employee.
- Think about logistics – sufficient time, private location – perhaps a neutral one.
- Give the employee information in advance and time to plan as well.

During the meeting

- State the purpose of the meeting and desired outcomes.
- Frame the discussion in terms of the specifics in the performance program.
- Invite the employee to discuss his/her perspective on performance of the tasks in the performance program.
- Ask questions/*Actively* listen – attend to more than the words.
- Present your information and communicate in a style that works with the employee's style.
- Keep the meeting focused on performance and on track.
- Your appraisal has been written in SMART terms – stay focused on assuring mutual understanding of what was written.
- Refer to documentation as needed.
- Engage the employee in the discussion about development.
- List the next steps that you and the employee will take and who is responsible, including time frames.
- Check to assure there is mutual understanding of where you are now and the next steps.
- Summarize and end on a positive note.

Follow Up to the meeting

- Write out notes as soon as possible after the meeting.
- Take appropriate steps (see Appendix, pages 11-15 for different steps for CSEA and PEF) to complete rating/review/approval process and finalize the appraisal and rating.
- Implement your next steps as agreed to with the employee.
- Schedule a check-in with the employee to discuss the status of both of your take away responsibilities.

AN APPRAISAL MEETING EXPERIENCE

Dale and Jan are on their way to a productive appraisal meeting. We are going to look in on a different supervisor and employee. As you observe Chris and Pat have an appraisal meeting, make note of how well you think it went.

Some things to look for:

- Chris' preparation?
- SMART feedback?
- Active listening?
- Attention to personal styles?
- Documentation?
- Pat's development?
- Other comments:

NOTES:

APPENDIX

Performance Evaluation Training for Supervisors

THE SMART PHRASE GLOSSARY

“SMART” gives supervisors and employees a way to assess performance that is *objectively measurable*. SMART standards are best expressed using **action words** - things you can see, not personal traits, attitudes, or qualities. They give supervisors the ability to provide feedback in terms that are equally objective.

Below are examples of some generally desirable traits or attributes. These single words or short phrases are often used to set standards or provide feedback and appraisals. The SMART phrases are much more precise. They help assure that both the supervisor and employee understand what is being expressed in the same way.

Attribute	A Possible SMART Phrase
Cautious.....	reviews all recommended changes to be sure there are no unintended consequences that could put the organization at risk
Thoughtful.....	takes time to reflect on the impact of actions before taking action
Dedicated.....	stays focused on the task and works a full day; stays late when needed to finish important work
Adaptable.....	listens openly to suggestions about other ways to get the work done; is successful in trying out new approaches
Dependable.....	Is on time and rarely absent
Good work habits.....	completes work on time and accurately; keeps work area organized
Sensitive.....	listens closely to co-workers and customers and is able to quickly determine their concerns
Strong technical skills.....	uses equipment in accordance with instructions; decisions are based on analysis in line with technical requirements
Collaborative.....	works together with team members on completing tasks; works so as to increase the productivity of the team overall
Consistent:.....	does the work every time with results that meet numerical standards
Thorough.....	researches many possibilities before suggesting a solution; reviews all records completely
Effective.....	Is able to achieve the desired outcomes within the timeframes specified, using only the resources allocated to that task
Well informed.....	Is aware of developments that affect his/her work
Shows initiative.....	identifies issues that need to be addressed, addresses those he/she can and brings the rest to supervisor's attention

CONSTRUCTIVE FEEDBACK

Feedback is constructive when it helps the recipient learn something about his or her actions and the impact these actions had on others.

Positive and corrective feedback can be constructive if designed well.

- *Positive feedback* tells employees what specific performance was good and what was the positive impact or result of the performance.
- *Corrective feedback* tells employees what specific performance was ineffective and what the negative impact of that behavior was.

Constructive feedback contains two elements:

1. It identifies the person's *behavior*.
2. It identifies the *impact* (results/outcome) of that behavior.

Constructive feedback does not include advice (advice can follow feedback, but should not be combined with it).

How to give constructive feedback:

1. State the behavior that you observed and the specific situation in which it occurred.
2. Then state the impact that behavior had on you, co-workers, customers or the agency.
3. Then switch to listening (paraphrase).

For example:

When you arrived late to work (***behavior***) yesterday, it was the fourth time in two weeks (***situation***) that your co-workers had to cover the phones for you (***impact***).

When you lost control of the power saw you were using (***behavior***) on the renovation job site (***situation***), you endangered yourself and your co-workers and damaged the saw (***impact***). This could have been much more serious if someone had been injured (***potential impact***).

When you turned in the report (***behavior***) yesterday (***situation***) with no mistakes and two days early (***behavior***), I was able to add it to my report and turn it in two days early as well (***impact***). This made our bureau look good and it will help us get more cooperation on our new project (***further impact***).

PERFORMANCE EVALUATION TERMS

The definitions for the terms below are “working” definitions designed as a guide for this course. Supervisors are encouraged to review the legal or formal definitions found in the labor agreements and agency policies.

Performance Evaluation is a structured, formal system of measuring and evaluating an employee’s job-related behaviors and outcomes. Performance evaluation is used to discover how that employee is presently performing on the job and how the employee can perform more effectively in the future.

Personnel Involved:

The Performance Evaluation Program for employees applies to annual salaried New York State employees in the competitive, non-competitive, exempt, and labor classes whose positions are allocated to a salary grade, or unallocated but equated to a salary grade. Exempt non-statutory (NS) Management/Confidential employees may be covered.

Full-Time

To be considered to be in full-pay status an employee must either work, charge leave accruals, or be on full paid leave for the duration of his/her work schedule. Full time employees who fall into the classes referenced above are included for evaluation and payment purposes. Employees in permanent status have the right to appeal an unsatisfactory rating.

Part-Time

Part-time employees are included for evaluation and payment purposes. Part-time employees who receive a performance-based payment are paid on a pro-rata basis, depending on the percentage of time worked each payroll period. Employees who work less than 75 hours in a per biweekly pay period are considered part-time. Part-time employees in permanent status have the right to appeal an unsatisfactory rating.

Probationary

Probationary employees are included for evaluation and payment purposes. Probationary employees must be evaluated on probation reports utilizing the performance program guidelines. Employees who are in probationary status do not have the right to appeal an unsatisfactory rating. During the probationary period the supervisor should provide the employee with a clear understanding of what the job's task assignments and performance expectations are and provide feedback on the employee's strengths and areas in need of improvement.

Performance Evaluation Training for Supervisors

Rater is the individual who evaluates the employee and writes the performance evaluation. He or she is:

- Generally the employee's immediate supervisor
- Usually responsible for assigning and reviewing the employee's work
- Usually in the best position to evaluate day-to-day performance

Reviewer is the employee who signs off on the rater's evaluation. He or she is:

- Selected by agency management
- Responsible for ensuring that appraisals are applied appropriately and fairly among various raters
- Responsible for finalizing the ratings

Ratings:

Satisfactory:

- Performs at or beyond expected and usual level of performance
- Generally meet expectations for all tasks
- Performs competently
- May meet minimal expectations with perhaps areas of performance that can be improved
- Can cover a range of performance, i.e., more or less experienced or more senior employees

Unsatisfactory:

- Clearly does not meet performance expectations for one or more tasks, even at a minimally acceptable level
- Requires significant extra direction
- Assigning normal tasks to the employee must be avoided by the supervisor
- Need for immediate and significant improvement

Rating Distribution:

- Unsatisfactory ratings represent a very small percentage of all ratings assigned.
- Unsatisfactory ratings which are appealed are not often overturned.
- Unsatisfactory ratings that are overturned on appeal most often occur because of administrative or supervisory deficiencies in the process. *(Supervisors should consult with Employee Relations before giving an Unsatisfactory rating to be sure it is done correctly.)*

Out-of-Title Work

Supervisors need to be concerned about the relationship of out-of-title work to performance evaluation. In the past, statements of task and standards found in the performance program and performance appraisal, and the supervisor's comments, including efforts at job enrichment, have sometimes supported claims of out-of-title work. Supervisors need to assure that work assignments do not violate the out-of-title provisions of the contracts.

Since this is a particularly sensitive area, if you are considering making assignments out of the ordinary, even for developmental purposes, you should definitely consult your own supervisor.

RELATIONSHIP OF PERFORMANCE EVALUATION TO PROBATION, COUNSELING AND DISCIPLINE

PROBATION AND TRAINEESHIPS

Probation is an important part of the selection process. Employees required to serve a probationary period will have a specific amount of time to learn the basic functions of the position.

An appointment, promotion or transfer requires a probationary period and “shall not become permanent prior to satisfactory completion of at least the minimum period and may require satisfactory completion of the maximum period of probation. If the conduct or performance of a probationer is not satisfactory, his or her employment may be terminated at any time after eight weeks and before completion of the maximum period of probation.” *Civil Service Rule 4.5*

The Civil Service rules require that a supervisor carefully observe the conduct and performance of the probationer and report in writing to the appointing authority at least two weeks before the end of the term. Also, the supervisor is required to advise the probationer of his/her status and progress during the probationary period. A probationer whose services are to be terminated is entitled to receive written notice at least one week prior to such termination. There is no formal appeal process for termination.

Employees on probation have a right to know:

- What is expected of them, stated in clear statements of tasks and standards.
- How their performance measures up against these tasks and standards.

A **Traineeship** is also an important part of the selection process. Employees serving in a traineeship will have a specific amount of time to learn the basic functions of the position. During this time, a formal training and development plan will be required. The supervisor is responsible for seeing that the training is provided and observing the conduct and performance of the trainee.

Employees who are in traineeship positions will also need an Individual Development Plan. Your personnel officer is the best person to advise you on the special requirements of probationers and trainees.

NOTE: Performance evaluations may also be required during a probationary period or a traineeship, in addition to any special evaluations required of probationers or trainees. Contact your personnel office to see if this is necessary.

Performance Evaluation Training for Supervisors

The supervisor is also required to advise the trainee of his or her status and progress during the traineeship. A trainee who successfully completes the traineeship will advance to the full title (usually at a slightly higher pay grade). A trainee who does not successfully complete the traineeship will be terminated. There is no formal appeal process; however, the supervisor is required to submit periodic progress reports and a final report on the trainee's performance.

If an employee is clearly having difficulty you have several options:

- Training
- Counseling
- Mentoring
- Change of assignments
- Change of supervisor
- Extension of the probationary period*

*This can only be done with the approval of management.

RELATIONSHIPS AMONG COUNSELING, DISCIPLINE AND PERFORMANCE EVALUATION

Employee Counseling is a discussion between the supervisor and employee about a real or perceived performance deficiency or job-related behavior. It also includes the employee's perception of the identified behavior, the supervisor's involvement in helping the employee correct these behaviors, and the employee's attempt to reduce or eliminate the misconduct or incompetence.

Note: Counseling is a **constructive** process in which it becomes necessary for the supervisor to address what is a real or perceived problem in job performance. However, counseling is not an ongoing process; it is used when a job-related performance problem first occurs. Unlike performance evaluation, which looks at an employee's total job performance, counseling focuses on a specific job-related behavior that is problematic. All agreements clarify counseling either in appendices or side letters.

Discipline is management's invoking the formal contractual process (Article 33) to seek a penalty as a result of employee misconduct or incompetence.

Misconduct is an intentional wrongdoing, improper behavior or deliberate violation of law or government standard by a public employee. Misconduct includes, but is not limited to, such acts as *insubordination; poor attendance* that affects the work of the employee and co-workers; *fraudulent practices; falsification of records; and acts of assault, intimidation or harassment*.

Incompetence means lacking the qualities needed for effective job performance. Incompetence includes, but is not limited to, such actions as *incomplete assignments; habitually missed deadlines; and work accidents caused by carelessness*.

Progressive Discipline is disciplinary action that is appropriate to the level of misconduct or incompetence, applied fairly and consistently, and progressive. Progressive discipline refers to the incremental application of penalties such that, in general, continual and repeated misconduct or incompetence merits a more severe penalty each time discipline is invoked. The purpose of discipline is to correct the behavior early with the least severe penalty.

Note: Discipline also focuses on a specific job-related behavior, but is called into play only after counseling has proved ineffective (or the behavior mandates immediate discipline). Unlike counseling, which is a problem solving effort by both the supervisor and employee to address a job-related behavior and agree on a constructive way to change the behavior, discipline involves management's progressive reaction to continued unchanged negative behavior.

Performance Evaluation Training for Supervisors

Note: The definitions for the terms above are “working” definitions only designed as a guide for the purposes of this course. Supervisors are encouraged to review the legal or formal definitions found in the labor agreements and agency policies.

Relation of Performance Evaluation to Discipline and Counseling

Employees may be disciplined for misconduct or incompetence.

In a disciplinary procedure for incompetence, managers, employee relations officers, hearing officers and, perhaps, arbitrators are likely to ask some of the following questions:

- Are past performance evaluation ratings consistent with incompetence on the part of the employee?
- Has the job changed significantly?
- Was there any effort on the part of the supervisor to correct performance through counseling, training, etc.?

However, if a person is to be disciplined for misconduct, the misconduct may have little or no relationship to prior performance evaluation ratings, i.e., a person who has received satisfactory ratings in the past could still be disciplined for improper acts or violations of law.

Counseling is an important tool, which may be used in the probationary period, in the performance evaluation period, and prior to discipline. It is a constructive process for improving job performance and job-related behaviors.

The supervisor's duties are:

- communicating expectations
- monitoring performance
- communicating feedback

The three duties mentioned above are important when evaluating performance. They are also important in the counseling process. Proper counseling may improve performance and behavior, which may help an employee to pass a probationary period, receive a satisfactory performance evaluation, or render a disciplinary process unnecessary. When done well, counseling is a valuable tool for improving performance and job-related behaviors.

Performance Evaluation Training for Supervisors

For more information...

The following links may be useful in improving performance and building your capacity to help employees.

Using Effective Counseling to Improve Employee Productivity

<http://www.goer.state.ny.us/train/onlinelearning/EC/intro.html>

This self-study online course helps supervisors become familiar with the process of counseling and discover ways that counseling can be used as a strategy to address poor employee performance.

Counseling Checklist for Supervisors

[<http://www.goer.state.ny.us/train/programs/jobaids/CounselingChecklist.html](http://www.goer.state.ny.us/train/programs/jobaids/CounselingChecklist.html)

This Job Aid is available for supervisors conducting counseling sessions.

STEPS IN PERFORMANCE EVALUATION FOR CSEA-REPRESENTED EMPLOYEES

Supervisors need to complete the following steps when filling out the performance evaluation form for **CSEA-represented employees**.

Step 1

At the start of the evaluation period, the supervisor completes Section 1, “Employee Identification” and Section 2A, the “Performance Program” portion of the evaluation form, listing the important tasks and objectives of the job and the standards by which the employee's performance will be evaluated.

Step 2

The supervisor arranges a meeting with the employee to discuss the performance program. At the meeting the supervisor provides a copy of the performance program for review, and may consider the employee's comments or suggestions regarding the performance program.

Step 3

The supervisor observes and informally reviews the employee's performance throughout the evaluation period, providing feedback and/or counseling when appropriate.

Step 4

Six-Month Recertification: Although optional, it is recommended that the six-month review be completed by the supervisor. At this time, the supervisor meets with the employee for an interim appraisal and informs the employee of how performance has compared with expectations. The supervisor also articulates the employee's strengths and, if there are any improvement opportunities, the supervisor should propose suggestions on how the employee can improve before the final evaluation.

Step 5

Near the end of the evaluation period (one month before is recommended), the supervisor completes sections 2B, 4, and 5, describing the employee's performance in accomplishing the tasks specified in Section 2A, and whether the employee has met, exceeded, or failed to meet expectations.

Step 6

The supervisor conducts an appraisal interview with the employee. The meeting should take place approximately two weeks before the end of the evaluation period to allow time for the supervisor to recommend a rating and forward the recommendation to the designated reviewer for approval.

NOTE: This appraisal discussion does not deal with any rating of the employee. It is intended to be a constructive exchange relative to the individual's past performance, improvement opportunities, and future expectations. It offers a chance for the supervisor and the employee to discuss their observations about the employee's performance and to clarify any differences in perception before the supervisor records the formal, written performance appraisal.

Step 7

The supervisor completes the performance appraisal and recommends a rating, including documentation to support any "Unsatisfactory" rating. The appraisal is forwarded to the reviewer.

Step 8

The reviewer reviews the appraisal and approves it, modifies it, or requires additional documentation. The reviewer should consult the supervisor regarding any changes to the proposed evaluation.

Step 9

The supervisor discusses the approved appraisal and rating with the employee and gives the employee a copy. At this time both the supervisor and employee sign and date the evaluation form. The supervisor gives the employee a copy of the performance evaluation and the original is put in the employee's personnel file.

Ideally, all steps should be completed by the employee's performance evaluation anniversary date.

Step 10

The supervisor begins the process again for the next rating period.

STEPS IN PERFORMANCE EVALUATION FOR PEF-REPRESENTED EMPLOYEES

Supervisors need to complete the following steps when filling out the performance evaluation form for **PEF-represented employees**.

Step 1

Prior to developing the performance program, the supervisor must ask the employee if he or she would like to complete Part I: Employee Worksheet for Performance Program (Form DDS-4 7/97). The worksheet is used in the development of the performance program and provides an opportunity for employees to indicate what they see as the important aspects of the job in which they will be evaluated. Completing this worksheet is optional. If an employee decides not to complete the form, it should be noted in the employee's file.

Step 2

Upon receipt of the employee's worksheet, or after the deadline of its return has passed, the supervisor, using the employee's input and assessment, completes Section 1 - Employee Identification and Section 2 - Performance Program on the evaluation form, listing the important tasks and/or objectives of the job and the standards by which the employee's performance will be evaluated.

Step 3

The proposed Performance Program is forwarded (with employee worksheet) to the reviewer, who may amend or approve the program. The reviewer should consult the supervisor regarding any changes to the proposed Performance Program.

Step 4*

Following approval by the reviewer, the employee is notified of a time for discussion of the Performance Program. The meeting must take place within six weeks of the beginning of the rating period. The supervisor discusses the Performance Program with the employee, completes Section 3 - Certification, and both the supervisor and the employee sign and date the form. The supervisor gives the employee a copy of the Performance Program, retains a copy for the file, and submits the original to the personnel office. At this time the supervisor should document that the employee has received a copy. If the employee wishes to attach additional written comments concerning the Performance Program he or she may do so.

Performance Evaluation Training for Supervisors

Step 5

The supervisor observes and informally reviews the employee's performance throughout the evaluation period, providing feedback or counseling when appropriate. During the observation period, the supervisor documents the employee's performance with actual examples to support the appraisal.

Step 6*

Six-Month Recertification: Within one month before or after the midpoint of the one year rating period, the supervisor formally meets with the employee to discuss performance to date, progress in meeting performance standards, any accomplishments or deficiencies, and any training, development, and/or performance improvement activities that might assist the employee in meeting tasks/objectives. The supervisor reaffirms the original performance program at this time or revises it, if necessary. (Please note that any revisions require approval of the reviewer. Also note that a six-month recertification is not required for ten-month employees.)

After the reviewer approves, signs, and dates any revisions, the supervisor meets with the employee to discuss the changes. The supervisor will also advise him or her of a proposed rating if one was due at that time. If performance is less than "Satisfactory," the supervisor advises the employee what must be done in the time remaining to achieve a final rating of "Satisfactory." At this time, the supervisor and the employee sign and date Section 4 - Six-Month Recertification located on the Part I: Performance Program form.

Step 7

One month before the end of the one-year rating period, the supervisor drafts an appraisal of the employee's performance during that period. If the employee has completed Part I of the Employee Worksheet, the supervisor returns the form to the employee for completion of Part II, Employee Worksheet for Performance Appraisal and Rating. After the employee has completed Part II of the form, the supervisor should draft an appraisal of the employee's performance; recommended training development and performance improvement activities; and assign a final rating (Sections 2,3, and 4 of Part II).

Step 8

The supervisor schedules a meeting with the reviewer to discuss the final evaluation and recommended rating. A management-level reviewer reads the employee's performance appraisal and approves it, changes it or requests additional documentation. An employee's rating is not final until this step has been completed. After the reviewer approves the final rating, both supervisor and reviewer sign and date Section 4 - Performance Rating, located on the Part II: Performance Appraisal and Rating form.

Performance Evaluation Training for Supervisors

Step 9

The supervisor discusses the approved appraisal and rating with the employee (Section 5 – Certification). Both the supervisor and the employee must sign and date the document before a copy is given to the employee. The employee may choose to attach written comments concerning the evaluation at this time.

Step 10

The supervisor begins the process for the next rating period. To ensure that the performance program is in place on time, it is recommended that the supervisor give the employee the option to fill out Part I of the Employee Worksheet for the next rating period.

*If either or both of these pieces are missing, the performance evaluation is considered to be technically deficient. If the rating is appealed at the statewide level, the PS&T Statewide Performance Evaluation Appeals Board will overturn the “Unsatisfactory” rating based solely on this technical deficiency. Merit will not be considered.

SUGGESTED STEPS IN PERFORMANCE EVALUATION FOR EMPLOYEES DESIGNATED MANAGEMENT/CONFIDENTIAL

Supervisors administer the performance evaluation program as required by their agency's performance evaluation program for its **M/C employees**. However, the following format is suggested during this yearlong process.

Step 1

The supervisor and employee meet at the beginning of the evaluation period to discuss responsibilities, goals, objectives, and priorities for the rating period and to develop a performance program against which the employee will be evaluated.

Step 2

Using input from the employee (an employee worksheet can be useful), the supervisor puts the proposed performance program in writing. It should then be discussed with the employee, finalized, and a copy given to the employee.

Step 3

The supervisor observes and informally reviews the employee's performance throughout the evaluation period, providing feedback and/or counseling as needed or appropriate.

Step 4

A mid-point six-month review by the supervisor is recommended, but not required. At this time, the supervisor and employee meet to discuss job performance to date, and to reaffirm or revise the performance program.

Step 5

Near the end of the evaluation period, the supervisor prepares an appraisal of the employee's performance. The supervisor may elicit input from the employee at this time.

Step 6

After receiving employee comments (or after the deadline for this has passed), the supervisor finalizes the employee's evaluation using the agency's appraisal system. If the agency has a reviewing process, the reviewer follows it at this time.

Performance Evaluation Training for Supervisors

Step 7

The supervisor discusses the evaluation with the employee and provides a copy to the employee. It may be appropriate at this time to begin the process anew for the next rating period.

THE APPEALS PROCESS

Supervisors should make sure that an employee receiving an “Unsatisfactory” rating is aware of the appeals process. Listed below are steps that supervisors should know and, when appropriate, share with the employee:

- Appeals must be submitted in writing on the Performance Evaluation Appeals Form. It is the agency’s/facility’s responsibility to have a supply of these forms available for use by employees who wish to appeal their “Unsatisfactory” rating.
- Appeals of ratings are submitted to the person or office designated for such appeals in each agency/facility. Employees appealing a rating of “Unsatisfactory” must state specific reasons and present evidence to show why their work performance deserves a higher rating. Such evidence should focus on accomplishments during the evaluation period, whether the performance standards were adhered to, and how the completed tasks met the requirements of the performance program.
- Employees have **15 calendar days** from receipt of their ratings in which to appeal. In considering the issue of timeliness, the general rule is to accept the submission of the appeal based upon either the date the rating was personally delivered to the employee or a dated postmark. It is the responsibility of the agency to verify the date the employee received the decision; it should be clearly documented at the time. If the employee refuses to sign the “Unsatisfactory” evaluation, the supervisor should document that the employee received the rating and chose not to sign or date receipt of the evaluation.

DOCUMENTATION PRESENTED TO THE STATEWIDE BOARD

As a supervisor you need to remember that, if an unsatisfactory appeal is submitted to the Statewide Performance Evaluation Appeals Board, the information you recorded during the evaluation period will be requested and reviewed by the Board.

Listed below are some common problems with the documentation presented to the Statewide Board:

- Documentation does not refer to actions or events within the evaluation period.
- Written confirmation of oral communications with the employee is not written clearly or, in some cases, it is not apparent that the employee received a copy.
- Counseling memos are not legible, lack pertinent information pertaining to the counseling session, or are poorly written.
- The employee's job description (the New York State Department of Civil Service Classification Standard) is missing from the file. This document is reviewed by the Board and compared to the employee's performance program.

Other points to consider:

- Production statistics. Supervisors need to use their judgment when including production statistics. Choose examples that are relevant to the evaluation period in question.
- Examples of the employee's work, if appropriate. Choose the examples that are relevant to the evaluation period in question.
- Time and attendance records, if appropriate. The Board does not want every time card for the evaluation period in question. A summary of the time and attendance records is appropriate with documentation to support the abuse.

INSTRUCTIONS TO SUPERVISORS

**AT THE START OF THE
EVALUATION PERIOD**

Complete Sections 1 and 2A

**AT THE MIDPOINT OF THE
EVALUATION PERIOD**

Complete Section 3

**AT THE END OF THE
EVALUATION PERIOD**

Complete Sections 2B, 4, 5 and 6

SECTION 1 – EMPLOYEE IDENTIFICATION

Enter the following information.

Employee's Name _____ Agency/Facility _____

Social Security Number _____ Division/Section _____

Title _____ Salary Grade _____ Item Number _____

Evaluation Period From: _____ To _____

Employee's Negotiating Unit: ___ Administrative Services ___ Institutional Services ___ Operational Services ___ DMNA

SECTION 2A – PERFORMANCE PROGRAM

List the important tasks of the jobs and briefly describe how you expect each to be performed. Your expectations should be expressed in terms of quality and/or quantity where possible.

1.

2.

3.

4.

5.

SECTION 2B – PERFORMANCE APPRAISAL

Describe the employee's performance in accomplishing the tasks specified in Section 2A. Explain how the employee's performance met, exceeded or failed to meet your expectations.

1.

2.

3.

4.

5.

I received a copy of this performance program on _____
(Date)

Employee: _____
(Initials)

(Attach additional sheets, if necessary)

SECTION 3 - SIX-MONTH RECERTIFICATION (OPTIONAL)

We met within one month before or after the approximate midpoint of the rating period to discuss the employee's performance, and to reaffirm or revise the performance program (If revised, changes have been reviewed and approved, and revisions are attached). If a rating were assigned today based upon service to date, I would propose that it be _____ Satisfactory _____ Unsatisfactory (check one). This is not a rating; therefore, it is not appealable.

Supervisor _____
(Signature) _____ (Date)

Employee _____
(Signature) _____ (Date)

SECTION 4 - SUPERVISOR'S COMMENTS

Comment on other aspects of the employee's performance (such as skills, behaviors, personal characteristics and time and attendance patterns), which have affected the employee's performance or the performance of other employees. Suggest ways in which performance can be improved.

Prepared by _____
(Print or type Name) (Signature) (Date)

SECTION 5 - PERFORMANCE RATING

Check the rating which best summarizes the employee's performance. A rating of "Unsatisfactory" must be supported by specific explanation and justification.

_____ **SATISFACTORY:** This is a broad category which covers a wide range of employees, all of whom are performing acceptably. It is the expected and usual level of performance. The employee generally meets performance expectations as specified in the performance program for all tasks and performs in a good, competent manner. This is the level which can minimally be expected from an employee in order for the work unit to function effectively.

The employee's performance may also be characterized as meeting minimal performance expectations for the job yet there may be areas of performance which should be improved. The employee may meet performance expectations for certain tasks or assignments, but some assignments may require extra follow-up and direction by the supervisor. It is only when the employee's performance clearly shows that it is below the expected performance level that a rating other than "Satisfactory" should be considered.

Note: Because this rating covers a wide range of performance, supervisors may want to consider the length of time the employee has been in the job as appropriate (i.e., employees in the same job title may be performing satisfactorily but at different levels due to length of time and/or experience on the job).

_____ **UNSATISFACTORY:** The employee clearly does not meet performance expectations for one or more tasks, not even at a minimally acceptable level. The employee requires significant extra direction, or the supervisor finds it necessary to avoid assigning normal tasks to the employee. The employee cannot be relied upon to carry out critical assignments in a timely and effective fashion. There is a need for immediate and significant improvement in performance. **Appeal Rights:** Only ratings of UNSATISFACTORY are appealable. Disputes concerning issues such as an employee's performance program, and the rating and appeals process are not subject to appeal. Employees must file an appeal within **15 calendar days** of the receipt of an UNSATISFACTORY rating. Appeals forms and procedural information are available from your personnel office. Employees have the right to a personal appearance and to CSEA-designated representation before the Appeals Board.

SECTION 6 - REVIEW AND APPROVAL

The employee's rating is not final until it is reviewed and approved.

Approved by: _____
(Print or type Name) (Signature) (Date)

SECTION 7 - EMPLOYEE COMMENTS

I met with my supervisor on _____ to discuss my work performance. I have read this evaluation and discussed it with my supervisor. My signature does not necessarily signify that I agree with this evaluation.

My written comments concerning this evaluation follow (optional):

(Signature) (Date)

STATE OF NEW YORK
Professional, Scientific, and Technical Services Unit

PERFORMANCE EVALUATION PROGRAM
PART 1: PERFORMANCE PROGRAM
(See instructions on reverse side)

Agency _____

SECTION 1 –EMPLOYEE IDENTIFICATION

Employee's Name _____	Division/Facility _____
Social Security Number _____	Section _____
Title _____	Salary Grade _____ Item Number _____
Supervisor/Rater _____	Title _____
Reviewer _____	Title _____
Evaluation Period From: _____ (mo./day/yr.)	To _____ (mo./day/yr.)

SECTION 2 – PERFORMANCE PROGRAM

A. TASKS/OBJECTIVES: List the major tasks, assignments, activities, and results to be achieved during the evaluation period.

B. PERFORMANCE STANDARDS: List observable criteria for determining if objectives/tasks are fully met/performed. Criteria should be quantitative wherever possible.

- | | |
|----|----|
| 1. | 1. |
| 2. | 2. |
| 3. | 3. |
| 4. | 4. |
| 5. | 5. |
| 6. | 6. |
| 7. | 7. |

Approved by: _____ Date _____
(Reviewer)

SECTION 3 – CERTIFICATION

We have met to discuss the objectives, tasks, assignments and activities indicated above. This performance program is the basis upon which job performance will be appraised and rated on the annual rating date. The employee has had an opportunity to submit proposed tasks and standards for consideration in the performance program.

Supervisor _____	_____
(Signature)	(Date)
Employee _____	_____
(Signature)	(Date)

_____ I have attached written comments concerning the performance program (Optional on the part of the employee.)

SECTION 4 - SIX-MONTH RECERTIFICATION

We met within **one month before or after the approximate midpoint of the rating period** to discuss the employee's performance, and to reaffirm or revise the performance program. (If revised, changes have been reviewed and approved, and revisions are attached) If a rating were assigned today based upon service to date, I would propose that it be (check one).

_____ Satisfactory _____ Unsatisfactory This is not a rating; therefore, it is not appealable.

Supervisor _____	_____
(Signature)	(Date)
Employee _____	_____
(Signature)	(Date)

INSTRUCTIONS TO SUPERVISOR

At the start of the process:

1. Before beginning of the rating period, discuss prospective performance requirements with the employee, and seek the employee's input to the performance program by providing him/her with a "worksheet" and a reasonable deadline for its return to you. (Submission of a worksheet is optional on the part of the employee.)
2. Upon receipt of the employee's worksheet (or after the deadline for its return has passed), complete Section 1 - Employee Identification and Section 2 - Performance Program.
3. Submit performance program to reviewer (with employees' worksheet, if any) for approval.
4. Following approval by reviewer, notify the employee of a time for discussion of the performance program. This must occur within six weeks of the beginning of the rating period. At the appointed time, discuss performance program with employee, and complete Section 3 - Certification. Give copy to employee, retain a copy and submit original to Personnel Office.
5. If the employee wishes to attach additional written comments concerning the performance program, he/she may do so. This is also optional on the part of the employee.

B. At the approximate midpoint of the rating period:

1. Notify the employee of the date, time, and place for the six-month conference. (This conference should take place within one month before or after the midpoint of the rating period.)
2. At that time, meet with the employee and discuss his/her performance to date. Discuss the employee's progress in meeting performance standards, any accomplishments or deficiencies, and any training, development, and/or performance improvement activities which might assist the employee in meeting tasks/objectives. Advise the employee of the rating you would propose, if one were due at this time. If performance is less than "Satisfactory," advise the employee what he/she must do in the time remaining in order to achieve a final rating of "Satisfactory." Employee and supervisor must sign Section 4 - Recertification.

Note: If there are any revisions to the performance program which need to be made at this point, first obtain the approval of the reviewer, as you did at the start of the rating period. Then meet with the employee to discuss the revisions, provide the employee with a copy and retain a copy for yourself, and send the original to your Personnel Office. (Revised programs must show the reviewer approval by means of a signature and date.)

Revisions can be made at any time during the evaluation period, as long as this process is followed. However, there must be a reasonable amount of time remaining in the evaluation period for the employee to perform any new tasks or meet any new objectives.

STATE OF NEW YORK
Professional, Scientific, and Technical Services Unit

PERFORMANCE EVALUATION PROGRAM
PART II: PERFORMANCE PROGRAM

(see Instructions on reverse side)

Agency _____

SECTION 1 –EMPLOYEE IDENTIFICATION

Employee's Name _____ Division/Facility _____

Social Security Number _____ Section _____

Title _____ Salary Grade _____ Item Number _____

Supervisor/Rater _____ Title _____

Reviewer _____ Title _____

Evaluation Period From: _____ To _____
(mo./day/yr.) (mo.day.yr.)

SECTION 2 – SUMMARY OF ACTUAL PERFORMANCE DESCRIBE THE EMPLOYEE'S PERFORMANCE IN ACCOMPLISHING TASKS OR ACHIEVING OBJECTIVES SPECIFIED IN PART 1, SECTION 2A. EXPLAIN HOW THE EMPLOYEE'S PERFORMANCE HAS EITHER EXCEEDED OR NOT MET THE PERFORMANCE STANDARDS. BE AS SPECIFIC AND QUANTITATIVE AS POSSIBLE.

1.

2.

3.

4.

5.

6.

7.

(Attach additional sheets, if necessary)

SECTION 3 – RECOMMENDED TRAINING, DEVELOPMENT AND PERFORMANCE IMPROVEMENT ACTIVITIES

Note that in many instances, the implementation of recommended performance improvement activities may result in the assignment of more complex tasks/objectives appropriate to the employee's title. If so, the performance program should reflect these revised assignments.

SECTION 4 - PERFORMANCE RATING

- o Check the rating, which best summarizes the employee's performance, as described in Section 2. Refer to descriptions of ratings below

☐ SATISFACTORY

☐ UNSATISFACTORY

SUPERVISOR _____
REVIEWER _____

SIGNATURE: _____ DATE _____
SIGNATURE: _____ DATE _____

SECTION 5 - CERTIFICATION

I MET WITH MY SUPERVISOR ON _____ TO DISCUSS MY JOB PERFORMANCE. I HAVE HAD AN OPPORTUNITY TO READ THIS REPORT AND DISCUSS IT WITH MY SUPERVISOR. MY SIGNATURE DOES NOT NECESSARILY SIGNIFY AGREEMENT.

EMPLOYEE SIGNATURE: _____ DATE _____

☐ CHECK IF EMPLOYEE COMMENTS ARE ATTACHED.

NOTE: If the rating is Unsatisfactory and you wish to appeal, you have 15 calendar days from receipt of the rating to submit an appeal. Contact your Personnel Office for specific procedures.

INSTRUCTIONS TO SUPERVISOR

1. Near the end of the evaluation period, return worksheet to employee for completion of Part II: Employee Worksheet for Performance Appraisal and Rating. Give employee a reasonable deadline for its return to you. Completion of the worksheet is optional on the part of the employee. (At this time, you may wish to give the employee a new Part I: Employee Worksheet for Performance Program for the next rating period, as well, a deadline for its completion. This will insure that the employee will have the opportunity for input into the new program, as well as insure that you have adequate time to prepare the new program and give it to the employee in a timely manner.
2. Upon receipt of the employee's worksheet - Part II, (or after the deadline for its return has passed) complete Sections 1, 2, and 3, and submit to reviewer with a recommended final rating. (Include employee's worksheet, Part II, if any.) Discuss evaluation and recommended rating with reviewer.
3. When reviewer approves final rating, supervisor and reviewer complete Section 4. (Rating is final only upon reviewers' approval.)
4. Following approval by reviewer, establish a time for the appraisal interview. At this time, discuss performance evaluation with employee.
5. Have employee sign and date acknowledgment in Section 5. Give copy of evaluation to employee, retain a copy, and send original to Personnel Office.
6. If employee wishes to attach written comments concerning the evaluation, he/she may do so. This is optional on the part of the employee.

NOTE: In completing Section 3 - Recommended Training, Development, and Performance Improvement Activities, consideration should be given, if appropriate, to such activities as in-service training, part-time study, task force assignments, PUBLIC SERVICE TRAINING PROGRAM courses, assigned readings, career counseling, and participation in professional associations.

SATISFACTORY: This is a broad category which covers a wide range of employees, all of whom are performing acceptably. It is the expected and usual level of performance. The employee generally meets performance expectations as specified in the performance program for all tasks and performs in a good competent manner. This is the level which can minimally be expected from an employee in order for the work unit to function effectively.

The employee's performance may also be characterized as meeting minimal performance expectations for the job yet there may be areas of performance which should be improved. The employee may meet expectations for certain tasks or assignments, but some assignments may require extra follow-up and direction by the supervisor. It is only when the employee's performance clearly shows that it is below the expected performance that a rating other than "Satisfactory" should be considered.

NOTE: Because this rating covers a wide range of performance, supervisors may want to consider the length of time the employee has been in the job as appropriate (i.e., employees in the same job title may be performing satisfactorily but at different levels due to length of time and/or experience on the job).

UNSATISFACTORY: The employee clearly does not meet performance expectations for one or more tasks, not even at a minimally acceptable level. The employee requires significant extra direction, or the supervisor finds it necessary to avoid assigning normal tasks to the employee. The employee cannot be relied upon to carry out critical assignments in a timely or effective fashion. There is a need for immediate and significant improvement in performance. **Appeal Rights:** Only ratings of Unsatisfactory are appealable. Disputes concerning such issues as an employee's performance program, and the rating appeals process are not subject to appeal. Employees must file an appeal within **15 calendar days** of the receipt of an UNSATISFACTORY rating. Appeal forms and procedural information are available from your personnel office. Employees have the right to a personal appearance and to PEF-designated representation before the Appeals Board.

PERFORMANCE EVALUATION PROGRAM

Part I: Employee Worksheet for Performance Program

Rating Period: From: _____ To _____
(mo./day/yr.) (mo./day/yr.)

To be considered in the development of your performance program, this worksheet must be returned to your immediate supervisor (rater) no later than _____
(Supervisor fills in date.)

Signature

Date

**Part II: Employee Worksheet for
Performance Appraisal and Rating**

To be considered in the preparation of your performance appraisal, this worksheet must be returned to your immediate supervisor (rater) no later than _____

(Supervisor fills in date)

Employee Comments Concerning Performance

A. Describe accomplishments and actions completed during the rating period in terms of the tasks and objectives cited in the performance program.

B. Problems encountered, if any, during evaluation period which affected attainment of objectives or goals.

C. Development Needs (comment on areas in which you feel you need further development).

**NEW YORK STATE GOVERNOR'S OFFICE OF EMPLOYEE RELATIONS
SUGGESTED M/C PERFORMANCE EVALUATION PROGRAM**

Employee Name:

Title:

Division/Committee:

Location:

Supervisor Name:

Evaluation for period:

Please note that this Performance Evaluation must be completed and

Section 1 – Job Responsibilities

Use this section to evaluate and comment on the performance of primary job responsibilities and major assignments specific to the employee's position. Attach additional sheets, if necessary.

1. Responsibility/Assignment: _____

----- Satisfactory ----- Unsatisfactory

Results/Measures/Comments:

2. Responsibility/Assignment: _____

----- Satisfactory ----- Unsatisfactory

Results/Measures/Comments:

3. Responsibility/Assignment: _____

----- Satisfactory ----- Unsatisfactory

Results/Measures/Comments:

Section 1 – Job Responsibilities, cont'd.

4. Responsibility/Assignment: _____

----- Satisfactory ----- Unsatisfactory

Results/Measures/Comments:

Section 2 – Performance Factors

Performance factors are skill sets that identify high and low performers. They are relevant to both the organization and its employees. This section is intended to evaluate how well the employee performed during the year in each of the following areas.

- I. **Honesty/Integrity:** Demonstrates integrity by acting honestly, sincerely and ethically, consistent with State and Agency guidelines and policies regarding personal conduct. Communicates with Supervisor any potential problem or issue. Displays attributes both within GOER and when representing the Agency that are beyond reproach.

----- Satisfactory ----- Unsatisfactory ----- Not Applicable

Comments:

- II. **Motivation/Initiative:** Self-starting. Approaches work enthusiastically. Seeks out innovative solutions to work problems. Able to work with a minimum of supervision.

----- Satisfactory ----- Unsatisfactory ----- Not Applicable

Comments:

- III. **Reliability:** Is punctual in attendance and dependable in job performance. Assignments are completed in a timely fashion.

----- Satisfactory ----- Unsatisfactory ----- Not Applicable

Comments:

IV. COMMUNICATION: Cultivates an environment that encourages an exchange of ideas, concerns and constructive feedback. Conveys information, including organizational issues, in an appropriate and timely fashion. Presents ideas in a clear, concise, and organized manner. Listens effectively.

-----Satisfactory -----Unsatisfactory ----- Not Applicable

Comments:

V. TEAMWORK: Builds collaborative relationships within and among divisions, and with internal and external customers and partners. Demonstrates this attribute through team participation at all levels of the agency.

-----Satisfactory -----Unsatisfactory -----Not Applicable

Comments:

VI. PLANNING/ORGANIZING: Establishes a course of action for self and others to accomplish specific goals. Organizes self in such a manner as to budget time, set realistic priorities, and schedule time for tasks and objectives to be accomplished in a timely manner.

-----Satisfactory -----Unsatisfactory -----Not Applicable

Comments:

Section 3 – Supervisor's Comments

Section 4 – Summary Rating for Evaluation Period

_____Satisfactory

_____Unsatisfactory

Section 5- Development Goals for Upcoming Year

Establish up to three goals to be undertaken during the coming evaluation period. The goals should be based on this evaluation, and reflect the employee's input and professional aspirations. Goals could be training classes, more

GOAL	Anticipated Completion Date
1.	
2.	
3.	

Performance Plan Certification

We met to discuss the performance plan for the upcoming year covering the evaluation period:
From: _____ To: _____

Evaluation Review and Certification

Reviewer's Signature _____ Date _____

Supervisor's Signature _____ Date _____

Employee's Signature _____ Date _____

I met with my supervisor on _____
to discuss this evaluation.* _____ Date _____

Supervisor's Signature _____ Date _____

Employee's Signature _____

**NOTE TO EMPLOYEE: Your signature on this evaluation indicates that you have read the evaluation. It agree with the content or the rating given. By signing, you acknowledge that you may add additional*