

*State of Oklahoma*  
**Office of Personnel Management**

# **Performance Management Process Handbook**

**March 1999**

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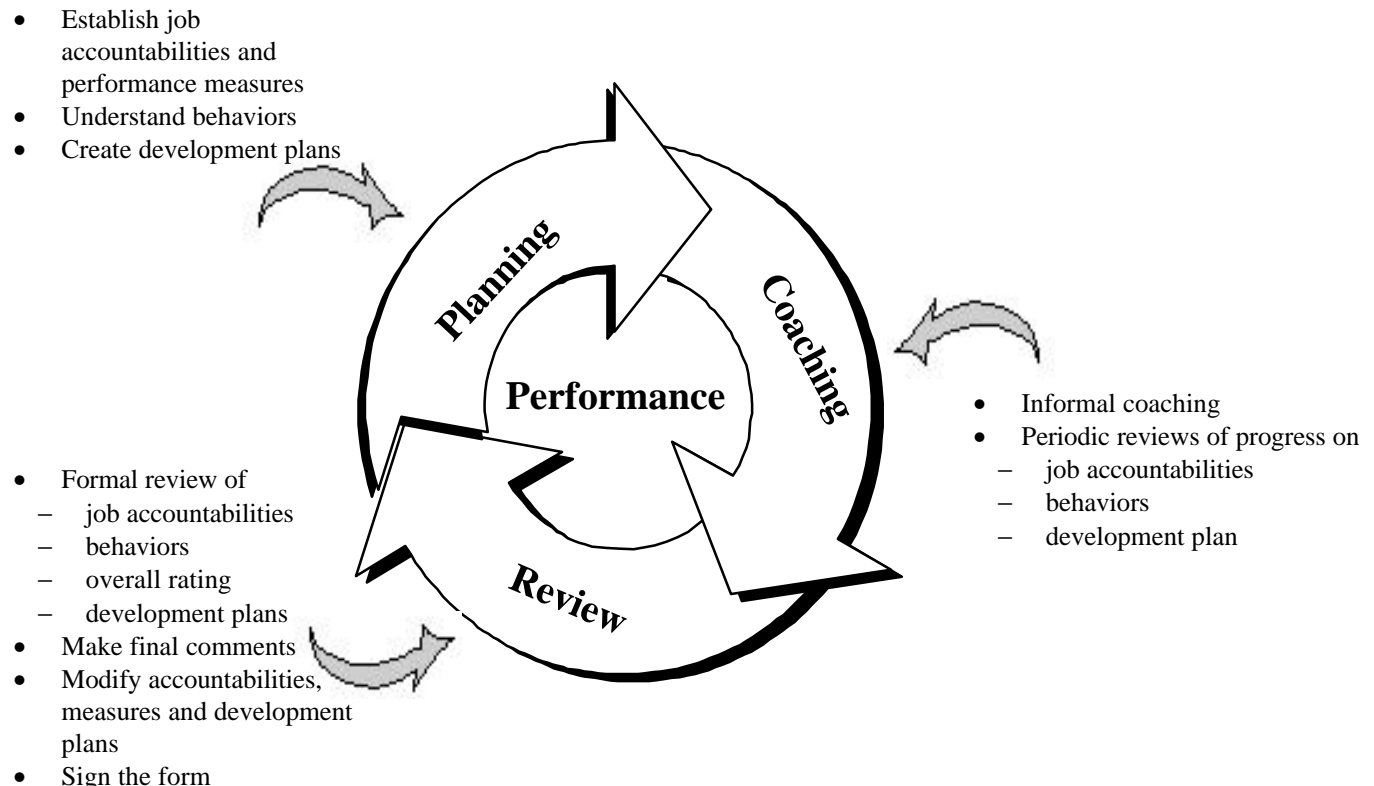
## Introduction to the Performance Management Process

This handbook is an introduction to the Performance Management Process (PMP), providing information to State of Oklahoma employees, supervisors and others who have an interest in performance management. While supervisors may use this handbook as a reference guide to the PMP, this document is *not* intended to stand alone; all supervisors will receive training and additional reference material on the new performance management system.

The PMP is designed to be a year-round partnership between employees and supervisors in the planning, coaching and reviewing of job performance. Unlike previous statewide systems for performance appraisal, the PMP takes into consideration not just employees' Accountabilities, but also a set of five Behaviors that influence their performance: Customer Service Orientation, Teamwork, Problem-Solving Initiative, Leadership and Observing Work Hours/Using Leave. For many state workers, these Behaviors may seem familiar, as they were chosen to reflect performance factors that various agencies have included in their own evaluation systems for years.

Performance coaching is critical to the process. Employees and supervisors are expected to have ongoing discussions about the Behaviors, skills and abilities required to succeed. This handbook explains the year-round process, from the plans that employees and supervisors make regarding Accountabilities and Behaviors, to the completion of the PMP form (OPM-111). The graphic below shows how the end of one cycle leads into the next year's performance assessment.

Performance Management is a process for establishing a shared understanding about what is to be achieved and how it is to be achieved. It is an approach to managing people that increases the probability of achieving success.



## Why Change?

A review of Oklahoma’s classification and compensation system in 1997-98 included a revision of the state’s performance management, with the aim of moving into a system of rewarding excellent performance by state employees. The state hired the HayGroup as a consultant as part of the Classification/Compensation Reform Project. The consultant surveyed selected agency heads, supervisors, and focus groups, composed of state employees and other stakeholders, to get feedback on the way performance appraisals have been done in the past and how they think performance management should be conducted under the new PMP.

The following table summarizing the feedback is divided into four categories: Culture, Planning, Coaching and Review.

<b>Category</b>	<b>Current State (1997)</b>	<b>Desired State (1998+)</b>
<b><i>Culture:</i></b>	The current culture does not support and consistently use the existing performance appraisal process across agencies. The culture also does not reward superior performance or provide consequences for those who are performing poorly.	In the desired culture, supervisors work jointly with employees to plan, coach and review their performance. Employees are recognized for superior performance and held accountable for poor performance.
<b><i>Planning:</i></b>	The surveyed employees said that in the current state, strategies, goals and objectives are not communicated down through the department’s hierarchy. Supervisors do not consistently work with employees to set goals or track progress throughout the year. Individuals are aware that there are career paths in place but have no developmental process for moving through the career path.	The desired state emphasizes setting measurable performance Accountabilities. Individual and department goals are linked to the goals and objectives of the agency and/or state. Employees and supervisors work together to create a development plan that focuses on the needs and desires of employees as well as the department’s requirements.
<b><i>Coaching:</i></b>	Currently, supervisors are not held accountable for coaching and developing others. Although some supervisors do coach and give feedback, there are no common standards/guidelines and a lack of consistency in application across agencies.	In the desired state, supervisors provide ongoing, consistent feedback, both positive and constructive. Supervisors are trained on how to give accurate, timely and appropriate coaching; how to give and receive feedback; and the aspects of formal and informal performance discussions.
<b><i>Review:</i></b>	Performance ratings currently are inconsistently applied and reviews are not linked to rewards, creating a lack of motivation. Reviews are seen as a disciplinary tool rather than as a process to record and monitor performance.	In the desired state, performance management involves the shared responsibility between supervisor and employee; and a link between performance and rewards.

## Definition of Terms

Following are several words or phrases to be used repeatedly throughout this handbook. Familiarity with their definitions will make it easier to understand the remaining pages.

**Accountabilities:** Specific job tasks that describe the work of the employee, plus the performance standards that specify what is required for acceptable performance. Accountabilities are defined jointly by the employee and supervisor, then recorded on the PMP form. This handbook provides basic instructions on how to write Accountability statements.

**Behaviors:** Five factors that influence overall job performance. They are: Customer Service Orientation, Teamwork, Problem-Solving Initiative, Leadership and Observing Work Hours/Using Leave. Examples of each Behavior are given in this handbook.

**Coaching:** Activities involved when a supervisor is helping an employee improve their performance. Coaching may be conducted in brief (5- or 10-minute) discussions with the employee, or it may involve longer interactions aimed at bringing the employee's performance closer to the standards expected by the agency.

**Decision Rules:** A set of guidelines for arriving at a conclusion. This handbook will explain the decision rules for deciding an employee's overall rating on Accountabilities and their overall performance rating.

**Development:** The process of improving performance. Development may involve learning new skills or responsibilities, or improving current abilities. Coaching is one way to help an employee's development. An annual development plan is written during the Year-End Review

**Employee Service Ratings:** This term is used in the Oklahoma laws to refer to a formal assessment of job performance.

**Mid-Year Review:** A required, yet informal meeting between the supervisor and employee for the purpose of going over the Accountabilities and Behaviors so that the employee knows where they stand before the end of the evaluation period. The PMP is designed to be used on an annual basis, with the Mid-Year Review being conducted about six months into the year (the year begins whenever a new PMP year begins, not necessarily tied to any calendar month). At the Mid-Year Review, the supervisor discusses with the employee how they would be rated if the PMP year were ending at that time.

**PMP:** The abbreviation for the new Performance Management Process, a three-part process of Planning, Coaching, and Review. The PMP is an ongoing process of interactions between the supervisor and employee, ending with the completion of the PMP form.

**Performance Standards:** Statements that are added to Accountabilities to specify what it means to "meet standards" for each Accountability statement. The handbook will give guidance on how to incorporate performance standards into the Accountability statements.

**Planning:** This is the first step in the PMP. The supervisor and employee work together to write

## Performance Management Process Overview

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the Accountabilities and performance standards. Behaviors and the expectations attached to them also are discussed so that the employee has a good understanding of what they will want to do on the job during the year. Planning well can make the rest of the evaluation process operate more smoothly.

**Review:** The final stage of the PMP, during which the supervisor and employee look back at the Accountabilities and Behaviors, talk about how well the employee did on the job, and conclude the evaluation year with the completion of the PMP form.

**Reviewer:** Usually the person to whom the supervisor reports. The reviewer's job includes supervising the PMP process; checking for documentation to support decisions made by the supervisor who completed the PMP form; and helping to resolve issues between the supervisor and employee. Reviewers also help ensure consistency among supervisors in the use of the PMP.

## **State Laws on Performance Management**

Following are excerpts from Section 840-4.17 of Title 74 of the Oklahoma Statutes:

- A. ... The purpose of the system of employee service rating is to evaluate the performance of each regular classified, unclassified, and exempt employee in the executive branch of state government except those in the exempt unclassified service as specified in paragraphs 1 and 2 of Section [840-5.5] of this title ...
- B. The system shall provide for the following:
  - 1. An objective evaluation of the employee, by the immediate supervisor, of the performance of the employee within the assigned duties of the job;
  - 2. The identification of the strengths and deficiencies of the employee;
  - 3. Corrective actions, if necessary, to correct deficiencies;
  - 4. An interview with the employee by the immediate supervisor who shall provide the employee with a copy of the service ratings; and
  - 5. The opportunity for the employee to submit written comments regarding the service rating.
- C. Each employee shall be rated thirty (30) days prior to the end of the probationary period. Thereafter, each employee shall be rated no less than once each year.
- D. Any permanent classified employee who disagrees with his or her individual service rating may file a grievance ...
- E. The agency shall use the service ratings of employees in decisions regarding promotions, demotions, performance pay increases, and discharges. Reductions-in-force shall not be considered discharges.
- F. The agency shall retain a copy of the service rating of each employee of the agency. A copy of the service rating shall be furnished the Administrator of the Office of Personnel Management for review to determine compliance with the provisions of this section and shall be retained in the file on the employee.

Section 840-5.5 of Title 74 of the Oklahoma Statutes grants the following exceptions:

- A. The following offices, positions, and personnel shall be in the unclassified service and shall not be placed under the classified service:
  - 1. Persons chosen by popular vote or appointment to fill an elective office, and their employees, except the employees of the Corporation Commission, the State Department of Education and the Department of Labor;
  - 2. Members of boards and commissions, and heads of agencies; also one principal assistant or deputy and one executive secretary for each state agency ...

## Features of the PMP

Here is a look at the main features of the PMP:

- **Year-round process.** The PMP involves feedback between the supervisor and employee throughout the year, not just at the end of the year. A special emphasis is placed on the supervisor's coaching of the employee so that they can fulfill the expectations set forth at the beginning of the year. This handbook gives guidelines on how supervisors can encourage employees' development year-round.
- **"Numberless" ratings.** The PMP is a "numberless" system. On each Accountability, an employee will receive one of the following ratings: *Does Not Meet Standards*, *Needs Improvement*, *Meets Standards* or *Exceeds Standards*. This handbook will provide guidance on what each category means.
- **Introduction of Behaviors.** Many agencies have developed their own performance appraisal systems and have rated employees on factors like customer service that affect their performance. With the PMP, all employees have a chance to be rated on the following Behaviors: **Customer Service Orientation**, **Teamwork**, **Problem-Solving Initiative**, **Leadership** (if applicable), and **Observing Work Hours/Using Leave**. The Behaviors will be rated *Does Not Meet Standards*, *Meets Standards* or *Exceeds Standards*, except for Observing Work Hours/Using Leave, which won't have an option for Exceeds Standards. The ratings are explained in more detail later in the handbook.
- **Partnership.** The PMP encourages a partnership between the supervisor and employee, focusing on regular discussions about Accountabilities, performance expectations and development plans. The supervisor and employee begin the year with an extensive discussion of the Accountabilities and what is expected from the employee. Both the supervisor and employee have a responsibility to initiate conversations about performance throughout the year.
- **Training for supervisors.** All supervisors will be required to go through a training program before they do any performance appraisals with the PMP. They will be provided with additional training materials, resource guides and definitions of Behaviors so they can do a good job of assessing employees' performance and helping them improve. When supervisors receive their own evaluation at the end of the year, a mandatory Accountability will be on Performance Management, so supervisors have an incentive to follow through with their commitment to coach employees.

## Roles of Supervisors, Employees and Reviewers in the PMP

Several people share the responsibility in the coaching, development and feedback involved in the PMP. Following are descriptions of the roles played by various people:

<b>Supervisor's Role in the PMP:</b>	
<b>Planning:</b>	<ul style="list-style-type: none"><li>• Explain to the employee how they help the agency provide services to the public and other agencies.</li><li>• Work with the employee to define Accountabilities and performance standards. Make sure they understand the Accountabilities and expectations about their work.</li><li>• Explain the five Behaviors, what is expected from the employee and why.</li><li>• Let the employee know they are responsible for taking an active role in managing and assessing their performance throughout the year.</li></ul>
<b>Coaching:</b>	<ul style="list-style-type: none"><li>• Provide frequent informal coaching. Point out the good work that the employee is doing. Help the employee whose performance is lagging to bring their work up to par.</li><li>• Identify ways that the employee can develop and improve, and work with the employee to create development plans. Ask the employee for suggestions, so that they are encouraged to take an active role.</li><li>• Promptly communicate new opportunities and changes that affect the employee's work. Identify observable actions that the employee should take so that your suggestions are concrete and can be implemented.</li><li>• Make informal notes (perhaps on a calendar) when the employee does a good job, follow through on development plans, or have problems doing so. These notes will help the supervisor with the Mid-Year Review and the completion of the PMP form.</li><li>• Keep track of praise or complaints from customers regarding an employee's work.</li></ul>
<b>Review:</b>	<ul style="list-style-type: none"><li>• Put together all saved notes or documents about the employee's performance and assess their performance on Accountabilities and Behaviors.</li><li>• Ask the employee for feedback about how they performed during the year. They may remind the supervisor of particular instances of good performance or problems outside their control that hurt their ability to do their job well.</li><li>• Complete PMP form, then discuss ratings and comments with the employee.</li></ul>

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<b>Employee's Role in the PMP:</b>	
<b>Planning:</b>	<ul style="list-style-type: none"><li>• Meet with your supervisor at the beginning of the PMP year. Discuss your Accountabilities and how they fit into the agency's goals for successful operation. Make suggestions on how to improve the description of the Accountabilities.</li><li>• Ask the supervisor questions until it is clear what is expected from you on all Accountabilities and Behaviors.</li><li>• Tell your supervisor how you view the Accountabilities and Behaviors so that you can clear up any possible misunderstandings about what is expected.</li><li>• Discuss customers' expectations, the supervisor's priorities, budget and anything else you can think of that relates to getting the job done.</li></ul>
<b>Coaching:</b>	<ul style="list-style-type: none"><li>• Take responsibility for your own continuous performance improvement and development.</li><li>• Make plans and follow through to meet the requirements of your Accountabilities and Behaviors.</li><li>• Periodically throughout the year, ask the supervisor for feedback on your performance. Consider the feedback you receive to be suggestions for improving performance, not personal criticisms. Try to follow through on suggestions for improvement and development of new skills.</li><li>• Talk to the supervisor about your progress as well as any obstacles to improvement, so that the supervisor can help remove the barriers to good performance.</li><li>• Write down when you do well on Accountabilities and Behaviors so that you can make sure your supervisor knows about your accomplishments.</li><li>• Request a brief meeting with your supervisor, if needed, to ask for direction or a refresher discussion on Accountabilities and Behaviors.</li><li>• Occasionally re-read the Accountabilities and Behaviors that were discussed in the Planning meeting at the beginning of the year.</li></ul>
<b>Review:</b>	<ul style="list-style-type: none"><li>• Monitor your performance by asking others to tell you how you're doing and by keeping notes on your progress.</li><li>• Prepare for the review discussion by collecting your notes on your performance.</li><li>• Participate in the review meeting by showing your supervisor any notes you've made about your accomplishments and by suggesting things that might help you during the next PMP year.</li></ul>

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<b>Reviewer's Role in the PMP:</b>	
<b>Planning:</b>	<ul style="list-style-type: none"><li>• Read the PMP form before and after the supervisor and employee have had their Planning session. Talk to the supervisor about plans for the meeting, as well as checking afterward on how the meeting went.</li><li>• Check on whether the Accountabilities include statements of performance standards -- that is, statements describing what it would take to receive a rating of <i>Meets Standards</i>.</li><li>• Talk to the supervisor and make sure the expectations for the Accountabilities and Behaviors were communicated clearly. Discuss any points of disagreement that may have arisen during the Planning session.</li></ul>
<b>Coaching:</b>	<ul style="list-style-type: none"><li>• Ask the supervisor periodically if informal discussions or coaching sessions have taken place.</li><li>• Ask the supervisor how various employees are doing on the job. If the answer seems weak, you may need to encourage the supervisor to talk to employees more frequently about their performance.</li></ul>
<b>Review:</b>	<ul style="list-style-type: none"><li>• Talk to the supervisor before and after the Mid-Year Review. Check in advance on the kind of feedback the supervisor plans to give. Afterward, find out how the meeting went.</li><li>• After the Planning meeting, the Mid-Year Review, and Year-End Review, sign the section of the PMP form titled "Record of Meetings/Discussions." The same kinds of questions you posed to the supervisor after the Planning session should be asked after each review session.</li><li>• Look over the fully completed form. Re-read how the supervisor and employee wrote the Accountabilities and Behaviors, then look at the results and ratings. Talk to the supervisor about how well the process went and how it might go better in the future.</li><li>• Make sure that the supervisor has explained each rating with written comments in the results section. (Written results are required for all ratings except Meets Standards.)</li><li>• Check for a given supervisor's consistency in managing the performance of a number of employees. Check for consistency between supervisors in the use of the PMP. A given supervisor should be consistent in the interpretation of the meaning of ratings and other facets of the PMP, and a number of supervisors with similar employees should be consistent in their understanding and use of the system.</li><li>• Discuss with the supervisor whether verbal or written feedback is being given to employees. A supervisor who is not used to praising employees may need to be reminded of its importance.</li></ul>

## Time Guidelines for the PMP

The PMP is a year-long process, but it rarely will coincide with the calendar year beginning in January. Some supervisors will begin a PMP year at the beginning of a fiscal year, while others will start the process on the employee's anniversary of starting to work for the state. A new PMP is started whenever an employee is initially hired, transferred to a new supervisor, or moves to a new position within the agency or state.

So that you can keep track of which part of the year goes with which phase of the PMP, we'll use the following graphic. The arrow points toward the time that a certain phase of the process should take place. In this example, the arrow is pointing at the beginning of the year. You will see this exact graphic at the top of the section on Planning. Several times in the remaining pages, a version of this graphic will be given, with arrows showing when that phase of the PMP happens.

Month 1	2	3	4	5	6	7	8	9	10	11	12
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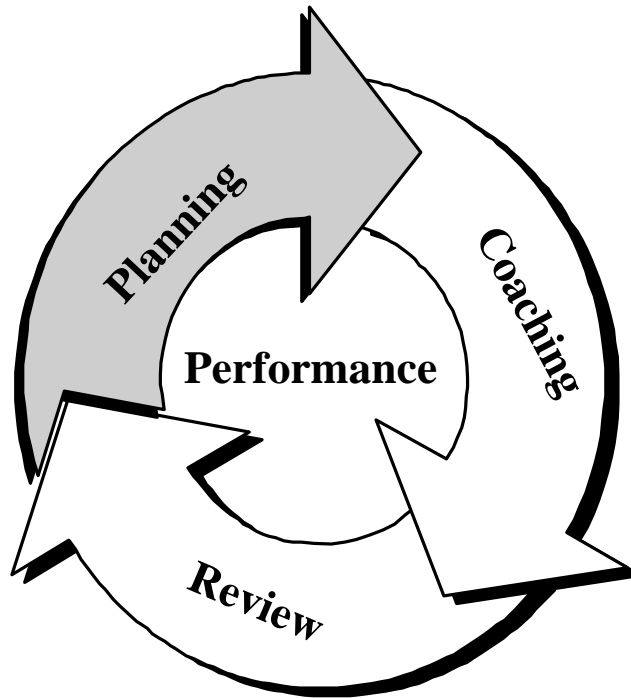


## Layout of the Remainder of the Handbook

The rest of this handbook is divided into three sections, which reflect the circular nature of the PMP, as shown in the graphic on page 1:

- **Phase I: Planning.** This section will describe the most difficult part of the process: writing the Accountabilities, defining the performance standards and discussing the Behaviors -- all of which are tasks to be shared between supervisors and employees. When the work in this phase is done well, the rest of the process is much easier because everyone knows what is expected. This part of the handbook will provide guidance on writing Accountabilities well, with the reminder that all supervisors must undergo training sessions, in which they will be given additional instruction and training materials.
- **Phase II: Coaching.** Several ways of looking at coaching and ideas on how the supervisor can make coaching sessions productive are given in this section.
- **Phase III: Review.** The Year-End Review involves documenting and rating the employee's performance. The supervisor and employee again discuss what was expected in terms of the Accountabilities and Behaviors, compared with the results that were observed and documented. The handbook gives suggestions on this part of the process, as well as how it leads into the Planning of the next PMP year.

## Phase I: Planning



**Definition:**

The first stage of the PMP, during which the supervisor and employee accomplish several goals: writing statements of Accountabilities, discussing the expectations for the Accountabilities, and discussing the expectations associated with the set of five Behaviors. Planning well can make the rest of the evaluation process operate more smoothly.

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Month 1	2	3	4	5	6	7	8	9	10	11	12
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## **Introduction to the Planning Phase**

The Planning phase is an opportunity for the supervisor to explain what the PMP is, define roles, discuss job requirements, answer the employee's questions about the PMP, and work with the employee to reach a consensus on and commitment to performance standards. The supervisor may want to meet with the reviewer before the Planning session with the employee, to go over what the supervisor plans to say.

The general facts about the PMP can be explained to several employees at the same time. For the PMP to be successful, it is important that everyone involved understands:

- what the process is all about,
- why the state uses the process,
- how the process works,
- what is expected from employees in various roles, and
- when performance will be assessed and reviewed.

During the Planning phase, the supervisor and employee will fill out a few sections of the PMP form, which can be found in the appendix of this handbook. You will see that Section A, plus parts of Sections B D and G can be addressed in the Planning meeting:

- Section A has spaces for the employee's Social Security number, name, job title, Position Identification Number (P.I.N.), reason for the PMP, agency, organizational unit/division and job code.
- Most of the work during Planning will involve Section B, which is where the supervisor and employee define the Accountabilities and designate them as critical or important. Much of this section of the handbook contains instructions on how to write the Accountabilities.
- Section D lists the five Behaviors. This handbook gives examples of what it means to meet standards, exceed standards or not meet standards on the Behaviors. The supervisor and employee will discuss these descriptions, which can be elaborated upon in Section D, if desired.
- Section G gives spaces for the employee, supervisor and reviewer to sign after Planning. The supervisor will keep this page in a file so that signatures also can be collected after the Mid-Year Review and the Year-End Review.

On the following pages, Accountabilities will be explained.

## Accountabilities

After the employee has learned the basic ideas involved in the process, the supervisor will need to work with the employee to define their job requirements. Several documents can help:

- job descriptions or job family descriptors,
- position description questionnaires, and
- previous performance reviews.

If a supervisor has many employees with similar responsibilities (i.e., six data entry operators), there is the option of holding group meetings to discuss the job requirements and responsibilities. Before holding a private Planning meeting with individual employees, the supervisor may ask them to prepare a list of tasks or activities for which they are responsible. The Planning session will be held in a private office or work space to protect the confidentiality of each employee.

Each specific job task is only part of what we call *Accountabilities*. The other part of an Accountability is its *Performance Standards*, which are statements that specify what constitutes good work. The supervisor and employee develop the list of specific job tasks, then they write statements that specify how the quality of the work will be determined. Here is one way to think of Accountabilities:

$$\text{Accountability} = \text{Specific Job Task} + \text{Performance Standards}$$

Keep in mind that the Accountabilities will be a benchmark to help the supervisor determine the employee's ratings at the Year-End Review. The effort that the supervisor and employee put into the Accountabilities will help the employee know what is expected and will tend to make the reviews of job performance easier.

The supervisor and employee may draft quite a long list of job-related duties. If so, try grouping similar tasks into categories; several activities or tasks may be put into one group if they involve a similar method, technique or process. The PMP form limits employees who are not supervisors to eight Accountabilities; there should be enough Accountabilities that the job is fully described, yet not so many that the job seems to have been put under a microscope. A sizable portion of the job should be captured in an Accountability. At the same time, the Accountability should be narrow enough that everyone knows what part of the job is being described so that performance can be rated at the end of the year. (An example will be given shortly.)

Accountabilities should not be about knowledge, skills, abilities or traits, like "being responsible for the reception area" or "knowing WordPerfect." They should reflect the activities performed by the employee that are required to accomplish specific work results, not what they know or are able to do.

## Phase I: Planning

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Once the supervisor and employee have a listing of the tasks or activities performed in the position, they can begin writing the Accountabilities, which may be the most difficult part of the PMP. The activities being described in the Accountabilities meet the criteria of being **SMART**, an acronym that stands for Specific, Measurable, Attainable, Relevant and Time-Based:

-- *Specific*: If an Accountability is too general, the employee will have a harder time knowing what is expected, and the supervisor will have trouble holding the employee responsible for the activities. A vaguely stated task would be, "Prepares reports." To make the Accountability clear to the employee so that they know what they are expected to do, the supervisor would need to add details: "Researches and writes monthly reports concerning the progress and budgetary status of active contracts."

-- *Measurable*: The supervisor needs to be able to determine whether the activity took place and to decide how well it was done. Accountabilities become measurable when performance standards are added to the tasks. The next section addresses the characteristics of well-written performance standards.

-- *Attainable*: The employee will be frustrated if they are supposed to be responsible for activities that are beyond their control or that cannot be achieved in a reasonable amount of time.

-- *Relevant*: Each task should be related directly to the job, a developmental plan objective, or a department or agency's mission.

-- *Time-based*: The supervisor and employee should be able to track progress against specified target dates and timeframes.

Month 1	2	3	4	5	6	7	8	9	10	11	12
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## Creating Performance Standards

The specific job tasks are the “what” of the Accountability -- *What* are the tasks or specific job activities? Performance standards are the “how” or “how well” of the Accountability. How well has someone performed a task? Adding performance standards to the Accountabilities will help the supervisor and employee answer this question when it’s time for a review.

Performance standards specify the ways the supervisor can measure whether goals have been reached and how well activities have been performed. We assume that the supervisor should be able to determine how well a task is completed, so we recommend that each Accountability include at least two of the following characteristics whenever possible. **In each example, the tasks are underlined, and the performance standards are italicized.**

- **Quality:** How well an activity is performed or to what standard the task is completed. This includes accuracy, appearance of work, usefulness and effectiveness. The measure may be expressed as an error rate or a percentage of errors allowable per specific unit. Examples:
  - Fills out standard forms *with less than a 2% rejection rate.*
  - Types letters and memos *with no typing errors or conspicuous corrections and returns them to the author within two business days at least 90% of the time.* (Combination of Quality and Timeliness.)
- **Quantity:** How much or how many of the results are produced or performed. Numbers or percentages may be used to measure quantity, but a system must exist or be developed to ensure that quantity standards can be accurately tracked and measured. Examples:
  - Codes an average of 150 to 175 death certificates per day, *each within 72 hours of its receipt.* (Combination of Quantity and Timeliness.)
- **Timeliness:** How fast a result is produced or performed. Example:
  - Answers telephone calls *within three rings.*
  - Files required documents *within one business day of receipt, with no more than 1% misfiled.* (Combination of Timeliness and Quality.)
- **Manner:** The way or style in which a task is performed or produced. Example:
  - Answers telephone calls *within three rings and is friendly, courteous and helpful to callers.* (Combination of Timeliness and Manner.)

## Phase I: Planning

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- **Method:** The policies, procedures and technical considerations that are applied to complete the task. Example:
  - Ensures that all forms are completed *to agency or state standards.*
- **Cost:** The effective use of resources including human, organizational and physical resources to complete a task. Example:
  - Manages the project budget while *considering the availability of employees and time constraints.*

It is important to avoid vague phrases, such as “as soon as possible,” “kept to a minimum” and “most of the time.” With specific guidelines, the employee knows exactly how they should be doing their jobs, and the supervisor can determine at the end of the year whether the employee has earned a rating of Meets Standards.

**Understanding the meaning of the ratings** - While discussing the Accountabilities, the supervisor should write the statements at the level of Meets Standards. But the supervisor and employee should discuss what it would take to earn a rating of Exceeds Standards, as well as what would trigger a rating of Needs Improvement or Does Not Meet Standards. For example, consider the above Accountability under the heading of “Cost:” **Manages the project budget while considering the availability of employees and time constraints.** The supervisor might tell the employee that a rating of Needs Improvement could be given if the employee takes into account the availability of employees but has a problem managing items within the agency’s time constraints. Failing to consider either the availability of employees or the time constraints could be cause for a rating of Does Not Meet Standards. On the other hand, the employee might exceed standards by keeping the budget within reason during a time when the agency has had a lot of employee turnover or suffered an unexpected budget cut.

**An Accountability for supervisors** - Before the creation of the new Performance Management Process, a survey of state employees revealed the need for supervisors to be held accountable for their role in the PMP. As a result, all supervisors will have a required Accountability on Performance Management, and it is designated as critical. This Accountability and its performance standards are printed as the ninth Accountability. Space is provided for adding extra standards about performance management in a specific work unit.

After writing the Accountabilities to include the specific job tasks and the performance standards, the supervisor is ready to enter them on the PMP form (or on a page to be attached to the form, if more space is needed). One more decision must be made about each Accountability: whether it will be marked as *Critical* or *Important*. The next section gives guidelines for this step.

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## Designating the Importance of Accountabilities

In all jobs, some activities are more important than others. During the Planning phase, each Accountability will be designated as *Critical* or *Important*. There are several questions that the supervisor and employee may ask to decide which designation applies:

- What percentage of time does the employee spend completing the activity? A relatively high or low percentage of time doesn't indicate automatically whether an Accountability is critical or important, but it could raise some flags for making the determination.
- Does the activity have a significant impact on the goals or objectives of the department, division or agency?
- Does the outcome of the activity have a significant impact on the work of other employees?
- If errors are made, do they have significant consequences? If the task doesn't get done, how serious are the results?
- Is the Accountability required by state or federal laws and regulations?

Some Accountabilities must be marked critical, but we encourage the supervisor *not* to mark all of them as critical. For example, an employee with seven Accountabilities might have two critical ones and five important ones -- or three critical and four important, or five critical and two important. When would *all* Accountabilities be designated as critical? It would be extremely rare, but it could occur with an employee whose entire job involved making sure the agency met state or federal laws and regulations. A supervisor who is tempted to mark all Accountabilities as critical should look at whether each Accountability is too broad -- that is, maybe a portion of an Accountability is critical and the rest can be listed separately as important. By discussing the questions listed above, the supervisor and employee can agree on the importance of each Accountability.

## Example of an Accountability on the PMP Form

Below is an example of how a supervisor might write an Accountability, including its performance standards and the designation of its importance.

<b>Section B: Accountabilities</b> ( <i>Tasks + Performance Standards</i> )		<i>Does Not Meet Standards</i>	<i>Needs Improvement</i>	<i>Meets Standards</i>	<i>Exceeds Standards</i>
1. Develops and submits the division's budget according to prescribed format before April 1, with no modifications requiring more than two days of work in revising the document after that date.	<input type="checkbox"/> Important <input checked="" type="checkbox"/> Critical	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Results:</b>					

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## Explaining Behaviors

Before the PMP, state agencies could propose their own systems for appraising employees' job performance. One way that many of these agency-developed systems differed from the previous statewide system was that supervisors rated employees on a number of behavioral factors, sometimes called performance factors. As mentioned in the Introduction and Features of the PMP, the following five Behaviors will be rated:

- Customer Service Orientation
- Teamwork
- Problem-Solving Initiative
- Leadership (if applicable)
- Observing Work Hours/Using Leave.

The Behaviors will be rated *Does Not Meet Standards*, *Meets Standards* or *Exceeds Standards*, except for Observing Work Hours/Using Leave, which does not have an option for Exceeds Standards.

Leadership is optional because not all employees are in a position to demonstrate this Behavior. Leadership is *not* equivalent to being a supervisor of other workers. How do you decide whether Leadership is applicable? Here are some questions that the supervisor and employee may discuss during the Planning session to help them decide whether it is applicable:

- Does the job involve training other employees, even newly hired people at the same level?
- Do customers (external customers, co-workers and people in other agencies) turn to the person in this job for expertise on projects?
- Does the person in this job act as a leader on various projects within the agency and therefore deserve some recognition for it?

The employee needs to know in advance if they will be rated on this behavior, so the decision must be made during the Planning session.

The Behaviors were selected based on information from two sources: the agency-derived systems and a series of interviews and meetings with state employees. The employees named several factors that are essential for all state employees to do their jobs. Although the names may differ slightly from the factors used in agency-developed systems, the Behaviors have been defined with the help of materials from the agencies.

In the Planning meeting, the supervisor will need to explain to the employee how the Behaviors and Accountabilities will be balanced in reaching an overall performance rating. These details will be given in the discussion of *Phase III: Review*. On the following pages, we provide examples of

## Phase I: Planning

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what constitutes *Does Not Meet Standards*, *Meets Standards*, and, where applicable, *Exceeds Standards* for each Behavior. These definitions should help the supervisor explain the Behaviors to the employee. The definitions also provide some consistency among supervisors and agencies in terms of how the Behaviors are understood. The supervisor and employee should discuss these definitions at the Planning session and talk about how they apply to the specific job.

**Examples of Behaviors**

<b>Customer Service Orientation</b>		
<b>Does Not Meet Standards</b>	<b>Meets Standards</b>	<b>Exceeds Standards</b>
<ul style="list-style-type: none"> <li>• Does not understand the needs and goals of customers</li> <li>• Does not clearly communicate time frames or expectations to customers</li> <li>• Makes promises or agrees to do things, but does not follow through</li> <li>• Passes customer requests along to other workers or to the supervisor</li> <li>• Is discourteous or unprofessional toward the public or other state employees.</li> </ul>	<ul style="list-style-type: none"> <li>• Develops a clear understanding of customers' needs and goals</li> <li>• Maintains clear communication with customers regarding expectations and time frames</li> <li>• Follows through and responds to customers' requests, questions and complaints in a timely manner</li> <li>• Follows up with customers after a problem has been resolved to inform them of any action taken</li> <li>• Takes personal responsibility for meeting commitments and correcting problems</li> <li>• Responds calmly under pressure</li> </ul>	<ul style="list-style-type: none"> <li>• Asks customers specific, probing questions in order to develop a full understanding of their needs and concerns</li> <li>• Works to build cooperative relationships with customers</li> <li>• Shows special concern in using as much time as necessary to help customers and solve issues at hand</li> <li>• Is flexible about breaks and lunch periods when helping a customer with a pressing problem</li> <li>• Tactfully defuses volatile situations and works patiently to resolve them</li> </ul>
<p><u>Notes:</u></p>	<p><u>Notes:</u></p>	<p><u>Notes:</u></p>

**Phase I: Planning**

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<b>Teamwork</b>		
<b>Does Not Meet Standards</b>	<b>Meets Standards</b>	<b>Exceeds Standards</b>
<ul style="list-style-type: none"> <li>• Gets in the way of meeting goals by disrupting the flow of work or productive work relationships</li> <li>• Does not consider the impact of own work on the work done by others</li> <li>• Does not cooperate and avoids working with other employees</li> <li>• Focuses more attention on individual goals than on goals of the agency or division</li> <li>• Does not share information with all appropriate people</li> </ul>	<ul style="list-style-type: none"> <li>• Offers to help and pitches in to get the job done</li> <li>• Works well with others when resolving common issues or problems</li> <li>• Does not hesitate to praise and give credit to co-workers when they have done a good job</li> <li>• Keeps others informed and up-to-date about tasks or projects</li> <li>• Gives support to others by providing detailed instructions</li> <li>• Works effectively with others to resolve common issues or problems</li> <li>• Listens to and seeks others' perspective on how to complete work assignments</li> </ul>	<ul style="list-style-type: none"> <li>• Gives specific and helpful feedback to others in order to improve the way things are done in the department or agency</li> <li>• Shares own work experiences and helpful information to help others learn more about the work being done in the department or agency</li> <li>• Includes others in projects with the attitude of bringing their unique knowledge and abilities into the job</li> <li>• Addresses conflicts in a timely and constructive manner in order to create a win-win situation for all involved parties</li> </ul>
<u>Notes:</u>	<u>Notes:</u>	<u>Notes:</u>

**Phase I: Planning**

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<b>Problem-Solving Initiative</b>		
<b>Does Not Meet Standards</b>	<b>Meets Standards</b>	<b>Exceeds Standards</b>
<ul style="list-style-type: none"> <li>• Repeatedly addresses symptoms of a problem instead of finding its cause</li> <li>• Is not sure when to ask for help and, as a result, causes more problems</li> <li>• Refuses to ask for help when needed or guesses at appropriate course of action</li> <li>• Depends on supervisors to handle all problem-solving</li> <li>• Avoids confronting obvious problems that exist and works as if nothing is wrong</li> </ul>	<ul style="list-style-type: none"> <li>• Solves problems in a timely way</li> <li>• Identifies the cause of problems and finds the necessary resources and information to solve the problems</li> <li>• Uses experience to recognize immediate problems and issues</li> <li>• Breaks problems down into lists of tasks, issues or activities</li> <li>• Sets priorities on tasks and activities that compete for attention</li> <li>• Recognizes when information is missing, incomplete or wrong</li> <li>• Understands and is able to discuss the logical sequence of events when solving problems or working on a project</li> <li>• Re-sets priorities based on changing needs or new requests</li> </ul>	<ul style="list-style-type: none"> <li>• Identifies obstacles and alternatives for action when addressing problems and creating solutions</li> <li>• Can be depended upon to find a solution for nearly any problem that crops up within own work area</li> <li>• Understands and expresses how parts of a problem affect other situations or issues, and vice versa</li> <li>• Pulls together information from different sources to identify the source of problems, consequences of alternative courses of action, potential obstacles and ways to avoid the problem in the future</li> </ul>
<u>Notes:</u>	<u>Notes:</u>	<u>Notes:</u>

**Phase I: Planning**

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<b>Leadership</b>		
<b>Does Not Meet Standards</b>	<b>Meets Standards</b>	<b>Exceeds Standards</b>
<ul style="list-style-type: none"> <li>• Does not set or discuss clear goals with others</li> <li>• Does not effectively lead or control meetings (i.e., does not have an agenda or ground rules)</li> <li>• Does not effectively allocate resources to help achieve agency or division objectives</li> <li>• Does not model behavior desired for employees; doesn't "practice what is preached"</li> </ul>	<ul style="list-style-type: none"> <li>• Sets priorities to align work with and in support of agency or division goals</li> <li>• Plans and leads meetings to ensure that issues are discussed and agendas are met</li> <li>• Provides others with timely and accurate feedback</li> <li>• Gains access to resources in a timely manner</li> <li>• Recommends changes in work methods to improve performance in the agency or division</li> <li>• Asks for others' opinions, ideas and recommendations to involve others in improving the work situation</li> </ul>	<ul style="list-style-type: none"> <li>• Identifies and removes obstacles that may get in the way of good performance</li> <li>• Sets a good example for others by modeling desired behaviors</li> <li>• Makes changes in agency department processes to improve effectiveness and enhance performance</li> <li>• Thinks through and prepares for how others will react to information or changes</li> </ul>
<u>Notes:</u>	<u>Notes:</u>	<u>Notes:</u>

<b>Observing Work Hours/Using Leave</b>	
<b>Does Not Meet Standards</b>	<b>Meets Standards</b>
<ul style="list-style-type: none"> <li>• Is habitually late to work</li> <li>• Does not observe limitations on lunch and break periods</li> <li>• Is often absent from work station</li> <li>• Chronically uses work time for personal conversations or personal business</li> <li>• Assumes sick leave is approved without giving proper notification according to agency policy</li> <li>• Doesn't consider work flow issues when requesting annual leave or taking breaks</li> </ul>	<ul style="list-style-type: none"> <li>• Arrives at work on time</li> <li>• Is punctual with lunch hour and break periods</li> <li>• Makes productive use of work time, focusing on assigned duties and tasks</li> <li>• Ensures that work does not suffer if personal business interrupts the work day</li> <li>• In use of sick leave, notifies supervisor in a timely manner in accordance with agency policy</li> <li>• Takes into account work flow issues when requesting annual leave or taking breaks</li> </ul>
<u>Notes:</u>	<u>Notes:</u>

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### Completing the Planning Phase

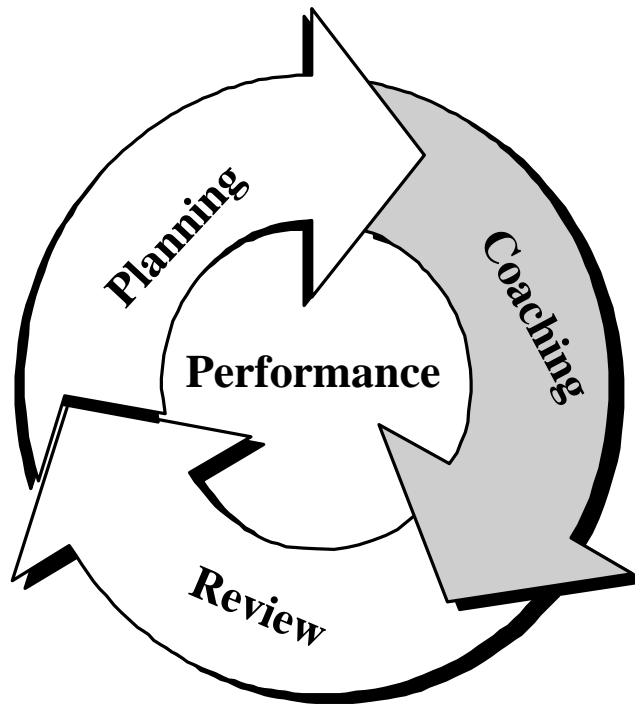
As the Planning phase is winding up, the supervisor and employee have written the Accountabilities, have marked them as critical or important, and have discussed the Behaviors. The supervisor should make sure that the employee understands that they share the responsibility for the completion of every phase of the PMP. The shared responsibility for the next phase, Coaching, should be emphasized and explained. If a previous year's PMP is available, a plan for development may be part of the discussion about Coaching, which will help the employee follow through on the plan. (More instructions about development plans will be given in Phase III: Review.)

Disagreements may arise between the supervisor and employee regarding the Accountabilities, performance standards or Behaviors. The reviewer may be asked to join a meeting to help bring about an understanding of the situation. If disagreements persist, the supervisor has the final say.

Once the supervisor and employee have answered each other's questions thoroughly and have reached an understanding on what is expected, they will sign and date the Record of Meetings/Discussions on the PMP form. The supervisor then consults with the reviewer, who also will sign the Record of Meetings/Discussions, which will stay in the supervisor's files.

From that moment, the Coaching phase begins.

Phase II: Coaching



**Definition:**

Activities involved when a supervisor is helping an employee improve their performance. Coaching may be conducted in brief (5- or 10-minute) discussions with the employee, or it may involve longer interactions aimed at helping the employee meet or exceed the standards of performance expected by the agency. Coaching on a regular basis also helps make sure that goals set during the Planning phase are pursued.

## Phase II: Coaching

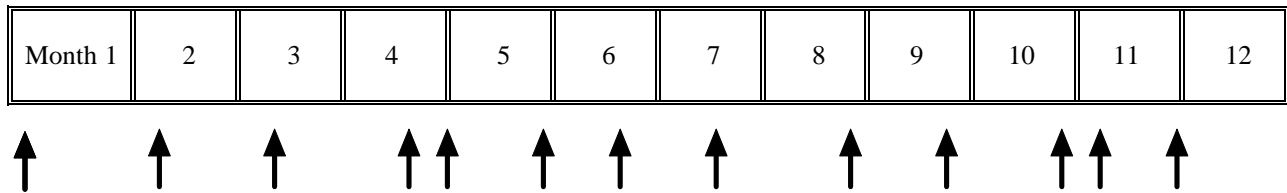
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## Phase II: Coaching

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### Ongoing Feedback

As you can see from the arrows on the timeline above, Coaching takes place throughout the year.

The amount of time that elapses between Coaching sessions can be irregular, but these sessions should be frequent enough that the supervisor and employee are exchanging regular feedback. Sessions may last only five or 10 minutes, but they are important for the supervisor *and* employee. The employee needs to hear from the supervisor about whether they are doing their job according to agency or departmental standards. It's also important for the supervisor to have many opportunities to observe, encourage and direct the employee.

During the Planning phase, the supervisor and employee came to an understanding of what was expected in terms of the Accountabilities and Behaviors. Coaching reinforces what was discussed, helps everyone make sure that the job is being carried out, and allows the supervisor the chance to encourage the employee's development.

Coaching sessions are **not** formal appraisals of performance. Coaching sessions **are**:

- opportunities for the supervisor and employee to make sure performance is on track with the Accountabilities and Behaviors,
- a chance to identify problems early, so that they can be corrected as soon as possible,
- a time for the supervisor to praise the employee verbally or commend them in writing, and
- a good time for the employee to point out accomplishments or problems that have been resolved, which otherwise might not have come to the supervisor's attention.

A supervisor who knows about specific accomplishments and problems during the year will be better prepared to judge progress and evaluate performance at the end of the year. The employee who has participated in several Coaching sessions should have no major surprises at the Review sessions. The next section will look at ways to keep track of performance during the year.

*Note: The supervisor will need to plan on conducting a Mid-Year Review session. Suggestions on the Mid-Year Review are given in Phase III: Review.*

### Collecting Performance Information

Coaching involves more than reviewing finished products. The first part of Coaching is observation. The supervisor must set aside time to see how close the actual performance is to the standards discussed during Planning. If you are a supervisor and know you will have trouble keeping track of your Coaching duties, you may want to schedule these sessions or put small reminders to yourself on a calendar.

On the other hand, Coaching sessions also can be spontaneous. The supervisor may be called into a discussion of some problem, and as a solution is discussed and chosen, the supervisor may take the time to explain why some options would be better than others. If the discussion relates to a person's Problem-Solving Initiative, which is one of the Behaviors in the PMP, the supervisor may want to take out the PMP materials and refresh the employee's memory about the Behaviors, what is expected and how the current situation relates to the Behaviors.

Not only does Coaching allow for problems to be caught early, but they also allow the supervisor to collect information that can be helpful when completing the PMP form at the end of the year. Here are some ways of collecting information:

- **Direct Observation** - Observing the employee while they perform day-to-day activities.
- **Written Material** - Any form of written material that the employee creates, generates or reviews, such as letters, reports or forms that are used as part of the job.
- **Notes from Customers** - The supervisor should keep a copy of any notes that customers have written about the employee. These notes may be part of a system of monitoring the services being provided, or they may be specific to a situation.
- **Notes from the Employee** - The employee is supposed to keep the supervisor informed of their progress and any problems that might be keeping them from doing their job as well as they would like. At the end of the year, these notes can help a supervisor remember a specific situation where the job performance was excellent or unacceptable.
- **Supervisor's own notes** - If the supervisor notices an accomplishment or a problem, but doesn't have the time at the moment to have a brief Coaching session, the supervisor may write a note and put it in a file to refer to later.

### Preparing for Coaching Sessions

An accomplishment **or** a problem can provide a good reason for a Coaching session. Sometimes, both will be discussed.

An accomplishment may be relatively minor, such as attending a workshop, for which a written commendation may be too much, or it may be worthy of both verbal praise and a letter of congratulations. In either case, most people like having their accomplishments noticed, so a Coaching session is a good chance for the supervisor to offer a verbal “pat on the back.” The supervisor also may want to point out how the accomplishment relates to goals or expectations discussed at the beginning of the year.

A problem that is discussed during a Coaching session might be corrected before the formal evaluation meeting. A supervisor may use the time to talk with the employee about some short-term goals toward solving the problem. Then a follow-up Coaching session may be held to acknowledge if the goals are met or if there are uncontrollable factors that are keeping the employee from correcting the problem.

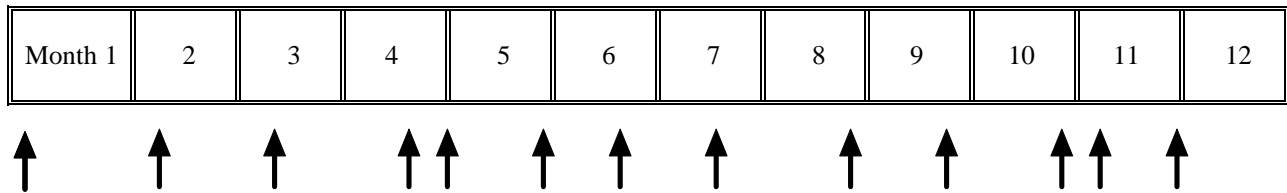
Because they are informal, most Coaching sessions don’t require a lot of preparation. If it has been several weeks since the last session, the supervisor may want to do the following:

- Review the employee’s Accountabilities and development plans on the PMP form.
- Read notes you have written to yourself after observing past performance.
- Make notes on the topics to be discussed -- the accomplishments or problems that need to be discussed.

After each Coaching session, the supervisor might like to make a note of the accomplishments or problems that were discussed because the employee may mention things that may not have been in the supervisor’s notes. These notes can help the supervisor prepare for the next Coaching session and complete the PMP form at the end of the year.

## Phase II: Coaching

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### During a Coaching Session

What causes employees to perform poorly or fail to improve on the job? A common cause is a lack of feedback. For some supervisors, it is difficult to talk about problems that employees are having in the workplace. For other supervisors, praising employees doesn't feel natural. All kinds of feedback are important, and sometimes a supervisor underestimates the importance of regularly talking to employees about their work. Employees need to know what they're doing right -- *and* they need to know what they must do to correct any problems they're having on the job.

Sometimes a supervisor can help an employee improve their performance by talking about the gap between actual performance and the expectations about performance. If the employee understands how the actual performance isn't meeting the expectations, they can ask what they need to do to improve.

What are some things that a supervisor might do during the Coaching session?

- Review the Accountabilities, Behaviors and (if available) the annual development plan written during the previous year's Year-End Review.
- Review what is expected in terms of progress on the Accountabilities and Behaviors.
- Share information that has been gathered regarding the employee's performance. The gap between actual and expected performance should be discussed.
- Ask the employee what the supervisor can arrange in terms of training, equipment or assistance to help them improve their performance.
- A schedule for following up on employee's progress in the future may be decided.
- If the employee seems to be heading toward a rating of Does Not Meet Standards, the supervisor should suggest ways that they could help the employee improve and ways that the employee could help themselves improve.
- Show support and express confidence in the employee's ability to improve performance.
- Acknowledge improvements and accomplishments. Praise gradual improvements.

**Performance deficiencies** - In most situations, employees perform up to expectations. This, however, is not always the case. Sometimes employees will have *performance deficiencies*—gaps between performance standards and actual results—and it is the supervisor's responsibility to take action to help the employee get back on track.

As part of the Coaching process, a supervisor needs to know what is causing the deficiency. How

## Phase II: Coaching

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the problem is handled depends on the underlying cause:

- **Lack of ability/skill** - An employee may not be performing up to expectations because they don't have the knowledge, skills and abilities to do the work. The supervisor may need to create a developmental plan that includes special training, extra coaching and classes.
- **Obstacles** - An employee may not be doing well because they are discouraged or facing some sort of barrier. The supervisor will need to determine if the barriers are external or internal. Once the supervisor and employee have identified the barrier, they can talk about how to remove or work around the barrier.
  - **External** - An external obstacle may be an uncooperative relationship with someone in another agency or a physical limitation of the work space. For example, the supervisor may notice that the employee is failing to meet deadlines on some projects involving computer work. During a Coaching session, the supervisor could ask about the problem and discover that the employee needs a wrist pad to rest their hands at the computer keyboard, and without it they must take more frequent breaks to rest their arms.
  - **Internal** - An internal barrier may be a lack of confidence, initiative, or self-control. The supervisor may recommend that the employee attend a workshop on self-esteem or assertiveness training, or that they seek help from the Employee Assistance Program.
- **Unwillingness** - Sometimes an employee is unwilling or unmotivated to do the job. The work may be unchallenging or uninteresting to the employee, or the environment may be unappealing and discouraging.

**Poor performance or non-performance** - What should the supervisor do about non-performance or poor performance? Here are some ideas:

- **Explain the importance of the task/activity.** Talk about how the employee's Accountabilities and Behaviors contribute to the success of the work place. If you think a prior negative experience is influencing the employee's behavior, ask about it.
- **Explain the consequences of non-performance.** Make sure that you have spelled out the consequences of non-performance for the employee. Consequences may be defined as the impact they are having on other employees and customers. Make sure they understand what you've explained about consequences.
- **Formal counseling.** Sometimes there are no barriers to performance and the employee understands the expectations, the importance of the work, the consequences of non-performance—and still they refuse to perform. The supervisor may need to bring in the reviewer to discuss progressive discipline.

This may look like a lot of extra work. But these ideas can be incorporated into a supervisor's daily activities and discussions. By following the above guidelines, the supervisor may become more comfortable about giving regular feedback. When the supervisor and employee work together on Coaching, everyone has an investment in doing a better job.

### Coaching vs. Progressive Discipline

Coaching is a routine, frequent interaction between a supervisor and employee. Coaching may be a verbal pat-on-the-back to encourage good performance, or it may be aimed at bringing the employee's performance closer to the standards expected by the agency. Coaching is crucial to the PMP being a year-round process.

Progressive discipline, on the other hand, is a process that is defined in the Oklahoma Personnel Act (74:840-6.3) and in the Merit Rules (455:10-11-4). The Merit Rules say progressive discipline is a "system designed to ensure not only the consistency, impartiality and predictability of discipline, but also the flexibility to vary penalties if justified by aggravating or mitigating circumstances. Typically, penalties range from verbal warning to discharge, with intermediate levels of a written warning, suspension or demotion."

The main differences between Coaching and progressive discipline are:

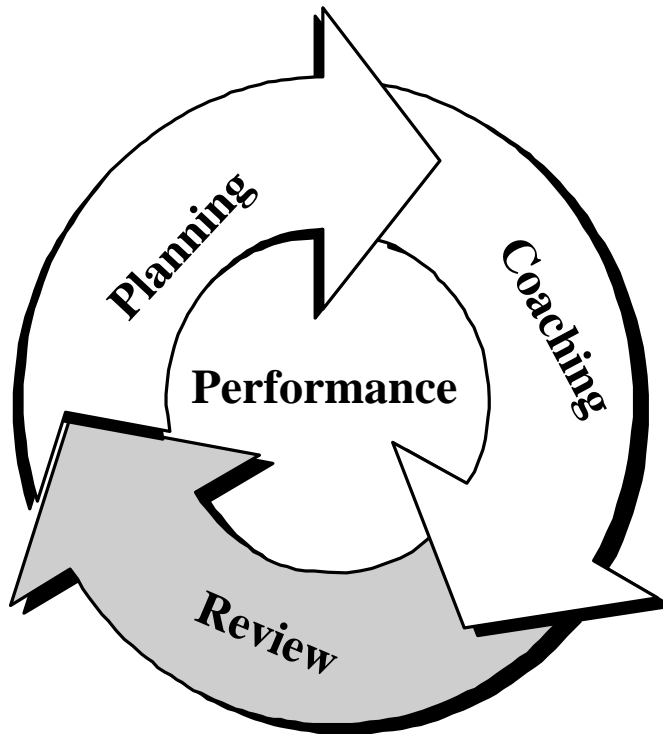
- Coaching is routine and must be carried out with all employees on a regular basis. Progressive discipline is a special process for those whose work performance or behavior needs to be corrected.
- Coaching is for employee development and can be given to employees who deserve praise for their behavior on the job -- or for those who need some direction to improve performance. Progressive discipline is aimed at behavior that must be called to the employee's attention immediately for correction.

The PMP and progressive discipline can be related. For example, suppose that a supervisor, Brenda, holds a Coaching session with an employee, Mike, during which she makes sure that Mike knows the policy on tardiness. She makes a note on a calendar, "Coaching: Told Mike the policy on tardiness." Then Mike is late to work three days in a row, so Brenda meets privately with Mike and tells him during the informal disciplinary session that his tardiness violates the office policy and tells him not to continue being late. This meeting could be considered a Coaching session, but the progressive discipline process is also being put to use.

Suppose Mike continues to be late and Brenda follows up with a written reprimand. Then his behavior changes and he is not late again for the two months leading up to his PMP Review session. Brenda probably has noticed (and if she hasn't, Mike should tell her) that he hasn't been late. This change in behavior could be documented on the PMP form as a rating of Meets Standards on the Behavior of Observing Work Hours/Using Leave.

The Merit Rules require each appointing authority to have written policies and procedures for progressive discipline, so ask your human resources staff for a more thorough explanation of the laws and rules on progressive discipline as they apply to specific situations.

**Phase III: Review**



**Definition:**

The final stage of the PMP, during which the supervisor and employee look back at the Accountabilities and Behaviors, talk about how well the employee did on the job, and conclude the evaluation year with the completion of the PMP form.

## Phase III: Review

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### Preparing for Review Sessions

The major difference between the Mid-Year Review and the Year-End Review is that no Results or Ratings are put on the PMP form at the Mid-Year Review. The supervisor should tell the employee that the Mid-Year Review can be described as an answer to the following question: “What would be the Results and Ratings if we had the Year-End Review today?”

**For either Review session**, the supervisor should look back at the guidelines on preparing for the Coaching sessions and follow these guidelines:

- **Gather all notes** - By the time the Mid-Year Review or the Year-End Review rolls around, the supervisor and employee should have several notes about Coaching sessions, accomplishments, progress or lack of progress. All notes should be put together and reviewed.
- **Encourage active involvement** - Again, by the time a Review session is held, the supervisor and employee should have a strong understanding that both parties must take an active role in the PMP. A supervisor can expect that the employee may come to the Review with notes on their performance. Notes may be related to:
  - examples of achievements, accomplishments or projects,
  - ideas for improvement or development that could help them do their job better, and
  - ideas and questions about career development.
  - any situation beyond the employee’s control that affected job performance, so that the supervisor will remember not to hold it against them.

**In preparation for the Year-End Review**, the supervisor also will do the following:

- **Fill in the rest of the PMP form’s Sections B, C, D and E** - The supervisor will write out the Results and Ratings of Accountabilities (Section B), decide on the Overall Accountability Rating (Section C), the Results and Ratings of Behaviors (Section D) and the Overall Performance Rating (Section E). The employee may remind the supervisor of situations that would influence the results and ratings, so the supervisor may revise these sections after holding the Year-End Review session.
- **Section F** - The Summary/Development Plan are given in Section F. The supervisor will complete the spaces on Performance Strengths and Performance Areas for Development before the Year-End Review.

On the following pages you will find some guidance on how to complete these sections.

### Rating Errors and Biases

The supervisor needs to be aware of various ways that errors occur in rating performance. Some systematic biases that exist include:

- **General Bias Errors** - when raters are too severe in their ratings on all employees (negative bias) or when raters are too easy in their ratings of all employees (positive bias), and do not take into account the individual employee's actual job performance.
- **Halo Effect** - when raters let an assessment of an employee on one task influence their overall rating of the employee.
- **Logical Rating Error** - when raters give an employee a high score on one task because it is related to another task that the employee performed well.
- **Contrast and Similarity Errors** - when raters judge others based on how they perceive themselves, either similar to the employee or different from the employee.
- **Central Tendency Errors** - when raters are reluctant to make extreme judgments about others, avoiding the extremes on the rating scale, which results in a narrow range of scores.
- **Proximity Errors** - when raters have a tendency to be influenced by how they rated surrounding items. For example, if item #2 was given a high rating, then the rater may tend to carry over the favorable response to item #3, even if it is inappropriate.
- **Rating Inflation** - when a supervisor's ratings tend to increase over time without justification. The supervisor should make sure the ratings are based on results, not the feeling that ratings should increase.

Although it's not a bias in the same way as the errors listed above, a big concern for many supervisors has to do with their ongoing relationship with the employee. It is not easy to tell an employee about their ratings. Some supervisors will give better ratings than the employee actually deserves, for fear of hurting people's feelings or causing problems in the working relationship. Be aware of your own feelings about the ratings, and be honest. People usually know their strengths and weaknesses on the job, and supervisors who have provided coaching and feedback throughout the year must provide ratings that are consistent with the previous feedback. Improvement is possible when people are told how they must improve.

Supervisors and reviewers should review these rating errors and biases on a regular basis. Being aware of them is the best way to avoid them. Reviewers should look for these kinds of biases when they are looking at various supervisors' consistency in use of the PMP.

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## Phase III: Review

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Month 1	2	3	4	5	6	7	8	9	10	11	12
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### Rating the Accountabilities

The work that went into writing the Accountabilities will pay off in the Review Phase of the PMP. The supervisor should use each Accountability and its performance standards as the basis for the ratings and the Results. For example, here is an Accountability given as an example earlier in the handbook:

**Develops and submits the division's budget according to prescribed format before April 1, with no modifications requiring more than two days of work in revising the document after that date.**

As the supervisor, you can pull out a copy of the division's budget to refresh your memory on how well the prescribed format had been followed. You also can check a calendar and other notes to find out if the budget was submitted by the due date and how much revision time was required. Keep in mind the rating errors described on the previous page, and isolate this Accountability from other details that may affect your ratings.

When you have a good feel for how well this Accountability was handled, you are ready to give a rating of *Does Not Meet Standards*, *Needs Improvement*, *Meets Standards* or *Exceeds Standards*. For ratings of Meets Standards, you don't have to write any comments in Section B, but it is always a good idea to give feedback in the form of written comments even for a Meets Standards rating. For any other rating, you are required to give information that supports your rating.

Let's look at examples of the ways an employee may earn various ratings on this example Accountability:

- Suppose the employee submitted the budget in the prescribed format on March 27, received feedback from a supervisor about revisions that were needed, then made those changes by April 2. The employee would deserve a rating of Meets Standards.
- Suppose the employee submitted the budget on March 15 in two formats: the prescribed format and a suggested format that improved substantially on the way the budget had been written in previous years. Further, suppose no revisions were necessary because the work was so clean in the first place. In this case, the employee would deserve a rating of Exceeds Standards, and these are the kinds of details that should appear in the Results section. The supervisor also may want to attach a copy of the excellent budget with the PMP form, along with a letter of commendation, if one had been written to the employee.
- The budget was submitted on March 31 in the prescribed format, but because the employee hadn't allotted enough time to draw it up carefully, the revisions took nearly a week to complete. In this case, the supervisor might give a rating of Needs Improvement. The

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supervisor may want to keep a copy of the first budget and the revised version with the PMP form. Training on time management may be included in the Development Plan for the next PMP year.

- The budget was submitted after the deadline, the format was wrong, and extensive revisions delayed the project even further, resulting in a rating of Does Not Meet Standards. The Results should give these details, and the supervisor may want to include both versions of the budget with the PMP form, plus any letters written to the employee about these shortcomings. The Development Plan for the next PMP year may include training on time management and a schedule of Coaching sessions for the purpose of breaking down the task into smaller parts with more deadlines.

The descriptions above were given as examples of how to rate Accountabilities, but they also can serve as examples of the Results that should accompany the ratings. Be sure that anyone who reads the Results of the Accountabilities will understand the reasons for the ratings.

### Borderline Cases: How to Decide?

Deciding whether someone's performance meets standards is made easier when Accountabilities have concrete performance standards. Careful thought must go into borderline decisions, such as the two dilemmas presented here:

**Needs Improvement vs. Does Not Meet Standards** - Deciding whether an employee deserves one of these ratings may be difficult. Here are some questions that may be asked in making the choice between these ratings for a given Accountability:

- *Did the employee sometimes meet standards, but sometimes did not meet standards?* If so, then the supervisor must decide whether the performance was unacceptable often enough to merit a rating of Needs Improvement. So one consideration that might point toward a rating of Needs Improvement is inconsistency in performance of the Accountability.
- *Did the employee's performance fail to meet standards most of the time, but occasionally met standards?* If an employee's performance on an Accountability is below standards most of the time, then a rating of Does Not Meet Standards would be appropriate.
- *Did the employee's failure on the Accountability result in difficulty for the rest of the agency or organizational unit? For how long?* If failure on an Accountability has an impact on other workers, then the Accountability probably should have been marked as "critical" during the Planning phase. (Even if it wasn't marked as critical, a substantial amount of time may be required to recover from the employee's failure.) In this case, a rating of Does Not Meet Standards may be in order.
- *Did the employee sometimes do a marginal job on the task simply because it was still being learned?* A rating of Needs Improvement can be appropriate for someone with new Accountabilities. But Needs Improvement can be given to any employee, regardless of how long the person has worked for the state. If a person's work seems to be slightly below standards fairly often, then the most accurate rating may be Needs Improvement.

If you are a supervisor having trouble deciding between these two ratings, you might ask your

## Phase III: Review

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reviewer for a meeting to discuss your concerns.

**Meets Standards vs. Exceeds Standards** - During the Planning phase, the supervisor and employee write the Accountabilities at the level of Meets Standards; in other words, they agree on what would constitute the kind of good work that deserves a rating of Meets Standards. A rating of Meets Standards means that the employee lived up to the expectation of fine job performance as specified at the beginning of the PMP year. Meets Standards is an acknowledgement of good work and a kind of “congratulations” for a job well done.

So what kind of work deserves a rating of Exceeds Standards? One example was given above, in which an employee submitted a budget two weeks ahead of the deadline in the prescribed format and also in a suggested format that improved upon the old way. The quality of the work went beyond the performance standard specifying the prescribed format, and the standard for timeliness also was exceeded. Here are some questions that a supervisor might ponder in deciding whether an Accountability deserves a rating of Exceeds Standards:

- *Did the employee sometimes exceed standards, while at other times simply met the standards?* If so, then the supervisor must decide whether the performance was extraordinary enough to merit a rating of Exceeds Standards. One consideration that might point toward a rating of Exceeds Standards is the consistency with which the employee performed on the Accountability. When the performance is above the performance standard more often than not, then a rating of Exceeds Standards may be in order.
- *Did the employee’s performance meet standards most of the time, but occasionally exceeded standards?* If an employee’s performance on an Accountability is fairly consistently at the level of Meets Standards, then a rating of Meet Standards would be appropriate. Any occasional performance that exceeded standards should be pointed out to the employee as a goal for earning a rating of Exceeds Standards on the Accountability during the next PMP year.
- *Did the employee’s exceptional work on the Accountability result in improved operations for a number of other workers?* Just as an employee’s failure can cause problems, an exceptional performance in an aspect of the job can make everyone else’s work easier. In that case, a rating of Exceeds Standards might be indicated.

Again, the Results for each Accountability should explain what made the employee’s job performance extraordinary -- that is, how the performance exceeded the standards that are incorporated into the Accountability statement.

Once the ratings and results are done for each Accountability, then the supervisor is ready to determine the Overall Accountability Rating, which is explained in the next section.

### Overall Accountability Rating

Section C of the PMP form is where the supervisor will indicate the employee's Overall Accountability Rating, which will summarize the Accountabilities before the Behaviors are rated. The supervisor decides on the Overall Accountability Rating by looking at all the Accountabilities, whether they were designated as critical or important, and the results of each one. The supervisor will treat the Overall Accountability Rating as a logical summary of the Accountabilities, taking into consideration their designation as critical or important. Section C gives the supervisor some limits, or Decision Rules, on the Overall Accountability Rating:

- If all Accountabilities are Meets Standards or below, then the Overall Accountability Rating cannot be Exceeds Standards.
- If any critical Accountability is Does Not Meet Standards, then the Overall Accountability Rating cannot be Exceeds Standards.
- If any three Accountabilities are either Needs Improvement or Does Not Meet Standards, then Overall Accountability Rating cannot be Exceeds Standards.

Notice how the third Decision Rule is different from the second one. The third rule doesn't pay attention to whether the Accountability is designated as critical. If there are three Accountabilities marked as important, and there is a mix of Needs Improvement and Does Not Meet Standards, then the employee cannot be given an Overall Accountability Rating of Exceeds Standards. More examples of how to reach an Overall Accountability Rating are given in the PMP training materials that supervisors receive.

After rating the Accountabilities, writing the results and deciding on an Overall Accountability Rating, the supervisor is ready to look at the Behaviors.

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### Rating the Behaviors

The supervisor should look at the examples of the Behaviors given in the Planning section of the handbook and any job-specific behaviors that were written in Section D during the Planning phase.

**Leadership doesn't have to be rated** - Because some employees will have no opportunities to show leadership on the job, this Behavior can be checked as "not applicable." Leadership is rated only for employees who are in leadership roles. The supervisor and employee should have discussed in the Planning session whether it would be rated at year's end. (For a more detailed description of the Leadership Behavior, see "Explaining Behaviors" under Phase I: Planning.)

**Ratings for Observing Work Hours/Using Leave** - As explained in the Planning section of the handbook, the supervisor will give the employee a rating of either Meets Standards or Does Not Meet Standards for Observing Work Hours/Using Leave. The other Behaviors have one other rating possible, Exceeds Standards.

**Commenting on Ratings of Behaviors** - The supervisor should provide examples of how an employee has exceeded or failed to meet standards. No comments are necessary for a rating of Meets Standards.

**Example** - Suppose an employee seems to do a good job with Customer Service Orientation, providing timely answers to questions and solutions to customers' problems. A supervisor who is deciding how to rate the employee on this Behavior reads the examples in this handbook and sees this example:

- Responds to customer requests, questions and complaints promptly.

This example is given under the column for Meets Standards, which may be the appropriate rating.

Suppose the supervisor has another employee who seems to be the favorite of many customers, who ask for this person by name. During the Coaching phase, the supervisor may want to talk to a few customers and find out what the employee is doing right. Maybe it will turn out that the employee treats customers' problems as a personal responsibility, gets to know customers by name, remembers their previous problems and has helped them with crucial projects. The supervisor may decide that a rating of Exceeds Standards would be appropriate. The information from the customers would help the supervisor write the Results section on Customer Service Orientation.

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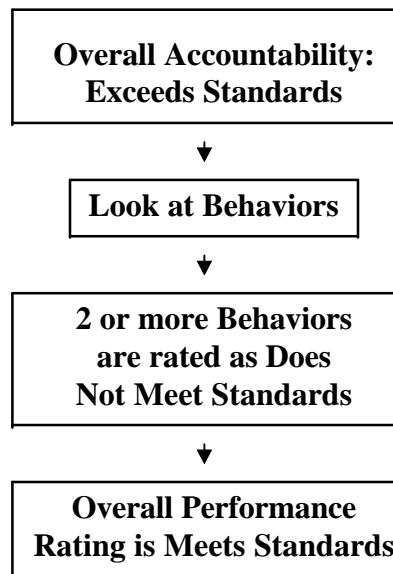
Month 1	2	3	4	5	6	7	8	9	10	11	12
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### Overall Performance Rating

After the Overall Accountability Rating has been given and the Behaviors have been rated, the supervisor is ready to arrive at an Overall Performance Rating in Section E. The PMP form gives the following limits or Decision Rules.

**Decision Rule 1.** If two or more Behaviors are Does Not Meet Standards, then the Overall Performance Rating is one level lower than the Overall Accountability Rating. The first guideline means that the supervisor's decision about the Overall Performance Rating begins with the Overall Accountability Rating -- and then Behaviors are taken into account. If the supervisor has given an employee a rating of Does Not Meet Standards on two or more Behaviors, then the supervisor will make the Overall Performance rating one level lower than the Accountability Rating. Here is another way of looking at it:



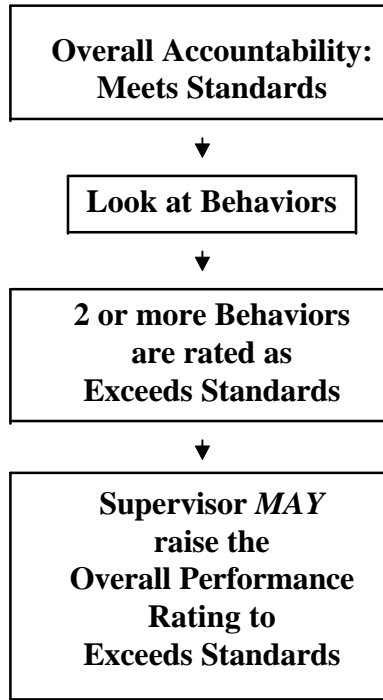
Another example: If the Overall Accountability was Meets Standards and two Behaviors were rated as Does Not Meet Standards, then the Overall Performance would drop one level and be rated as Needs Improvement.

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**Decision Rule 2.** If two or more Behaviors are Exceeds Standards then Overall Performance Rating may be one level higher than the Overall Accountability Rating. The other Decision Rule allows the supervisor to give an Overall Performance Rating that's higher than the Overall Accountability Rating. For example:



Decision Rule 2 is only an *option* available to the supervisor, but Decision Rule 1 is mandatory.

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### Summary/Development Plan

Before holding the Year-End Review, the supervisor can fill out the first two spaces in Section F, which is labeled Summary/Development Plan. Using all the positive comments from the sections on Accountabilities and Behaviors, the supervisor can name the employee's strengths in the space for Performance Strengths. The next space in Section F is Performance Areas for Development, which is where the supervisor writes about the weaknesses found in the Accountabilities and Behaviors. State law requires that the performance appraisal address deficiencies in an employee's performance. In addition to the results written with each Accountability and Behavior, the deficiencies should be addressed in the section on Performance Areas for Development.

With the first two spaces of Section F completed, and after the reviewer has examined the proposed review, the the supervisor and employee can hold the Year-End Review. Keeping the strengths and weaknesses in mind, they will discuss the third space in Section F, Development Plan. As mentioned above, state law requires that deficiencies be addressed in the performance appraisal. If the employee has deficiencies, part of the Development Plan should be a list of corrective actions that will help eliminate the problems. Whatever plans are listed in this space can be carried over to the next year's PMP, where they can be included in the description of the Accountabilities and Behaviors.

The next pages will give some guidance on how to conduct the Year-End Review session.

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### Preparing for the Year-End Discussion

If the supervisor and employee did a good job in the Planning and Coaching phases, the year-end performance review should seem like a formality. The Year-End Review discussion allows both the supervisor and employee to acknowledge what happened in the past, for good or for bad, and to have a new beginning. The supervisor should keep the following ideas in mind while conducting the Year-End Review session:

- **Constructive** - The employee's strengths and deficiencies both will be discussed during the Year-End Discussion, but the reason must be made clear: to give the employee feedback on the things they are doing well and the areas that could be improved. Each area being discussed should be directly related to the Accountabilities and Behaviors, so that the feedback is constructive.
- **Careful preparation** - The supervisor should complete the PMP form before the meeting and should be prepared to present supporting evidence and comments for all observations and conclusions.
- **No surprises** - The repeated Coaching sessions should have given the employee a clear idea of what they were doing right and what they needed to improve. The Year-End Review should confirm and summarize the ongoing feedback.
- **Properly scheduled** - The supervisor should arrange the Year-End Review well in advance so that everyone has time to prepare. At least 30 minutes and up to 90 minutes should be set aside for the meeting, and arrangements should be made for no interruptions so that the supervisor and employee can devote their full attention to the discussion. Any interruptions may convey the message that the process isn't important.
- **A dialogue, not a monologue** - As in the Planning and Coaching sessions, the Year-End Review session also should be a conversation or dialogue between two people, not a speech or monologue by the supervisor. The more involved the employee is in the process, the better they will understand the results.
- **Linking the employee to group effectiveness** - The supervisor should talk about how the employee's work affects other workers, either a team, project, unit, department or agency. Knowing that other people depend upon each other's work can help motivate the employee to improve.

### During the Year-End Review

The following steps can be used to structure the Year-End Review session:

- **Reviewer** - Before meeting with the employee, the supervisor should discuss the ratings with the reviewer, so that there is agreement between them. After the supervisor and employee meet, the reviewer signs the Record of Meetings/Discussions section of the PMP form. The supervisor and reviewer share the responsibility of making sure the proper officials store the original and get copies of the PMP form.
- **Refresh everyone's memory on the expectations** - Go back over the Accountabilities, Behaviors and the expectations behind them. Listen to the employee's comments about what was expected.
- **Strengths and deficiencies** - Talk about the employee's strengths as well as areas that need improvement. Together, make a list of any obstacles that affected results and how the employee handled them. If needed, make notes together on ways to deal with such obstacles better in the future.
- **Explain Accountability ratings** - Go through each Accountability and explain your rating. Ask the employee to talk about any recollections about each Accountability, and show each other any documents or notes about the tasks and performance standards.
- **Explain Behavior ratings** - Review the Behaviors, including the examples in this handbook. Talk about the employee's strengths and deficiencies, and discuss each rating on the Behaviors. Ask the employee what they have to add about the ratings.
- **Overall ratings** - Explain how you arrived at the Overall Accountability Rating and the Overall Performance Rating.
- **The possibility of changing a rating** - Occasionally, the discussion may lead the supervisor to believe that a rating should be changed. The employee may remind the supervisor of circumstances that affected performance. In this case, the supervisor and employee can take a break from the Review session while the supervisor makes changes in the ratings or consults the reviewer for assistance.
- **Previous Development Plan** - If a previous year's Development Plan is available, ask the employee how they think they performed on meeting the requirements of that plan. Talk about how you see their development during the just-completed PMP year.
- **A new Development Plan** - Talk about which deficiencies or goals need to be included in the Development Plan and how these would be met -- through coaching, training or other development opportunities. Together, write the next year's Development Plan. More details on the Development Plan are found on the next page.
- **Career options** - Talk about what the employee would like to accomplish in their career area, the most realistic options available to them, and short-term goals that they might pursue.
- **Employee responses** - Offer the employee the chance to write a response to the Year-End Review. The employee may need some time to think about the review, and the supervisor and employee can agree upon a deadline for a written response.
- **Signatures** - The supervisor and employee sign the Closeout section of the Record of Meetings/Discussions page of the PMP form; this page is the same one that was signed after the Planning meeting and the Mid-Year Review. The supervisor may remind the employee that their signature doesn't mean that they agree with the contents of the PMP form; it just means they acknowledge that the discussion took place.

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- **Employee's rights** - The supervisor should make sure that the employee knows about their grievance rights. If the supervisor and employee disagree about Ratings and Results, the reviewer may be brought into the discussion to try to resolve the problem.

## **Writing the Development Plan**

As we have said, a partnership takes place throughout the PMP between the supervisor and employee. This partnership continues with both giving ideas for the Development Plan. The employee should say which areas they would like to improve. The supervisor can give some feedback on how the employee's development in those areas would affect the new Accountabilities and Behaviors, as well as the work of other employees.

Here are some steps that the supervisor and employees can take to identify areas for development:

- List the factors that contributed to the employee's success.
- List the factors that hurt the employee's performance.
- Identify situations related to the last year's Accountabilities and how the employee successfully dealt with the situations.
- Look for how the ideas listed above may point toward ways to improve on the job.
- Outline the employee's career goals and realistic options within the agency or division.

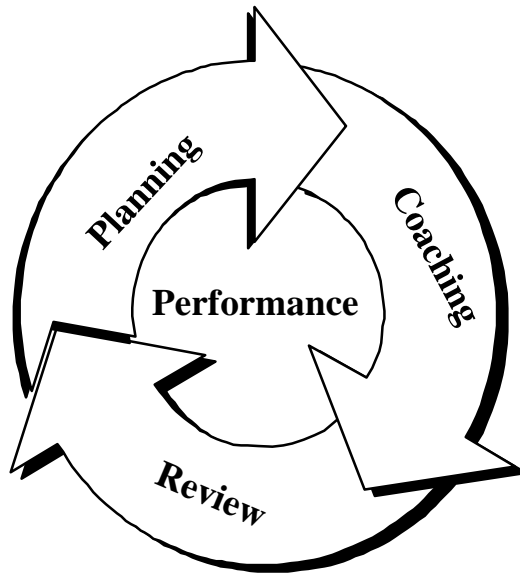
Here is an example of Section F: Summary/Development Plan. (The supervisor could add references to specific Accountabilities and Behaviors.)

<b>Section F: Summary / Development Plan</b>
<b>Performance Strengths:</b> Terry's reports have a reputation of being complete, accurate and neat. She maintains the unit's inventory without running out of supplies or ordering too many supplies at once. She volunteers to take responsibility for jobs that require her to work alone, and she pays attention to detail, even though it can be tedious.
<b>Performance Areas for Development:</b> Terry's job requires her to help newer employees learn what she does so that the office isn't left in a lurch when she is out sick or on annual leave. She doesn't communicate or work well with others. Timelines for reports being completed haven't been met according to the performance standards in the Accountabilities.
<b>Development Plan:</b> Terry and I discussed her strengths and areas for development in arriving at the following plan: <ol style="list-style-type: none"><li>1. Use your skills in report-writing to develop an outline of your job, along with instructions for other employees who may be called upon to do your job when you are out of the office.</li><li>2. Take one task from the outline each month and train another employee (not the same one each month) on how to do that task.</li><li>3. I will hold a Coaching session with Terry before and after the first couple of monthly meetings described above.</li><li>4. Complete a course in Time Management the next time it is offered by Human Resource Development Services.</li></ol>

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### **One PMP Cycle Ends, Another Begins**

On the last couple of pages, we listed some steps that can be used to structure the Year-End Review session. One of these steps involved writing a Development Plan for the next PMP year. This plan paves the way for the PMP cycle to start again.

The supervisor may set up another appointment with the employee to open the new PMP year. The Development Plan that was written during the Year-End Review session can be incorporated into the Accountabilities and Behaviors. Other changes may need to be made if job-related tasks have changed or if new performance standards are appropriate. The employee's comments also can provide ideas for details that need to be included on the next PMP form.

Every new process that state employees must implement can take effort. Our hope is that the work that the supervisor and employee put into the Performance Management Process will pay off with motivated workers, better service to the state of Oklahoma and greater rewards for employees.

## Phase III: Review

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**SAMPLE PMP FORM**



SSN	Name (LAST, First, M.I.)	Job Title	P.I.N.

**Section B: Accountabilities -- continued** *(Tasks + Performance Standards)*

4.	Does Not Meet Standards	Needs Improvement	Meets Standards	Exceeds Standards
<p>_____ <input type="checkbox"/> Important    <input type="checkbox"/> Critical</p> <p><b>Results:</b></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>_____ <input type="checkbox"/> Important    <input type="checkbox"/> Critical</p> <p><b>Results:</b></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>_____ <input type="checkbox"/> Important    <input type="checkbox"/> Critical</p> <p><b>Results:</b></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SSN	Name (LAST, First, M.I.)	Job Title	P.I.N.

<b>Section B: Accountabilities -- continued</b> (Tasks + Performance Standards)							
	<i>Does Not Meet Standards</i>	<i>Needs Improvement</i>	<i>Meets Standards</i>	<i>Exceeds Standards</i>			
<p>7.</p> <p>_____ <input type="checkbox"/> Important    <input type="checkbox"/> Critical</p> <p><b>Results:</b></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<p>8.</p> <p>_____ <input type="checkbox"/> Important    <input type="checkbox"/> Critical</p> <p><b>Results:</b></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<p><b>For Supervisors/Managers Only</b></p> <p>9. Performance Management Accountability:</p> <ul style="list-style-type: none"> <li>-- Provides continuous feedback to employees using specific terms regarding work performance</li> <li>-- Conducts annual performance appraisals according to policy</li> <li>-- Helps employees identify areas of strength and areas for development</li> <li>-- Instructs and demonstrates ways that employees may improve performance or gain new skills</li> <li>-- Encourages feedback from employees regarding performance management</li> <li>-- Other:</li> </ul> <p>_____ <input type="checkbox"/> Not Applicable    <input type="checkbox"/> Critical</p> <p><b>Results:</b></p>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SSN	Name (LAST, First, M.I.)	Job Title	P.I.N.

**Section C: Overall Accountability Rating**

- \* If all Accountabilities are Meets Standards or below, then the Overall Accountability Rating cannot be Exceeds Standards.
- \* If any *critical* Accountability is Does Not Meet Standards, then the Overall Accountability Rating cannot be Exceeds Standards.
- \* If any three Accountabilities are either Needs Improvement or Does Not Meet Standards, then the Overall Accountability Rating cannot be Exceeds Standards.

Does Not Meet Standards     
  Needs Improvement     
  Meets Standards     
  Exceeds Standards  
 (Enter the Overall Accountability Rating again in Section E.)

**Section D: Behaviors**

	Does Not Meet Standards	Meets Standards	Exceeds Standards
<b>1. Customer Service Orientation</b>  <hr/> <b>Results:</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>2. Teamwork</b>  <hr/> <b>Results:</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>3. Problem-Solving Initiative</b>  <hr/> <b>Results:</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>4. Leadership</b>  <hr/> <b>Results:</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>5. Observing Work Hours and Using Leave</b> ( <i>Do not consider any leave that is approved under FMLA.</i> )  <hr/> <b>Results:</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SSN	Name (LAST, First, M.I.)	Job Title	P.I.N.

### Section E: Overall Performance Rating

1. Enter the Overall Accountability Rating (from Section C):

**Does Not Meet Standards**       **Needs Improvement**       **Meets Standards**       **Exceeds Standards**

2. To arrive at an Overall Performance Rating, consider the ratings on the Behaviors:

\* If two or more Behaviors are Does Not Meet Standards, then the Overall Performance Rating *must* be one level lower than the Overall Accountability Rating.

\* If two or more Behaviors are Exceeds Standards, then the Overall Performance Rating *may* be one level higher than the Overall Accountability Rating.

3. Record the Overall Performance Rating:

**Does Not Meet Standards**       **Needs Improvement**       **Meets Standards**       **Exceeds Standards**

### Section F: Summary / Development Plan

**Performance Strengths:**

**Performance Areas for Development:**

**Development Plan:**

SSN	Name (LAST, First, M.I.)	Job Title	P.I.N.

**Section G: Record of Meetings/Discussions**

Purpose of Meeting: <b>Initial Planning</b>		_____/_____ Supervisor's Signature	_____/_____ Date
_____/_____ Employee's Signature	_____/_____ Date	_____/_____ Reviewer's Signature	_____/_____ Date

Purpose of Meeting: <b>Mid-Year Review</b>		_____/_____ Supervisor's Signature	_____/_____ Date
_____/_____ Employee's Signature	_____/_____ Date	_____/_____ Reviewer's Signature	_____/_____ Date

(This section is OPTIONAL and is used for extra meetings.)

Purpose of Meeting		_____/_____ Supervisor's Signature	_____/_____ Date
_____/_____ Employee's Signature	_____/_____ Date	_____/_____ Reviewer's Signature	_____/_____ Date

Purpose of Meeting: <b>Closeout of the PMP</b>		Supervisor: I certify that this report represents my best judgment and has been discussed with the employee.	
Employee: I certify that this report has been discussed with me. I understand that my signature does not necessarily indicate my agreement with the contents of the report.		Reviewer: I certify that I agree with this report and have listed any exceptions/comments in the Additional Comments section.	
_____/_____ Employee's Signature		_____/_____ Supervisor's Signature	
_____/_____ Date		_____/_____ Date	
_____/_____ Employee's Signature		_____/_____ Reviewer's Signature	
_____/_____ Date		_____/_____ Date	

Employee Comments:	Additional Comments (Supervisor and/or Reviewer):

**This page is to be maintained by supervisor and attached after the PMP closeout.**

Copies: \_\_\_\_\_ Employee  
 \_\_\_\_\_ Supervisor  
 \_\_\_\_\_ Agency Human Resources Department  
 \_\_\_\_\_ Other