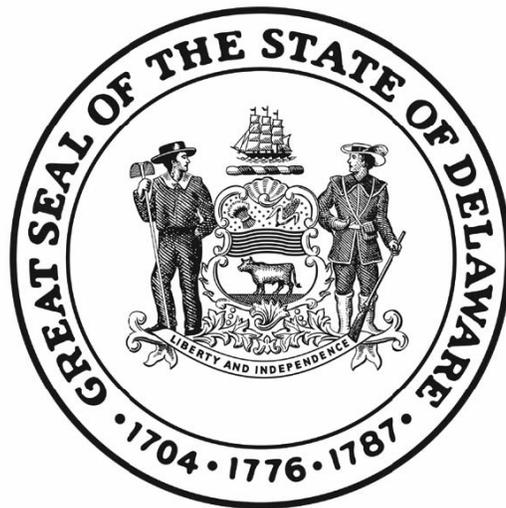


**The State *of* Delaware
Performance Review**

User Guide



Office of Management and Budget:
Human Resource Management

March 2008

Introduction

Every employee's productive effort is needed to achieve quality services by our State Government. The work expected is set forth in the *Performance Plan*, which links employee job duties and performance expectations to meeting the organizational mission and objectives.

The quality of work effort is recorded on the *Performance Review*, which is the evaluation of job performance. Together, they are designed to help managers and employees to:

- set performance expectations;
- assess to what degree those expectations have been met;
- document job strengths and weaknesses;
- plan for improvement and/or development;
and
- create a performance record which may increase employees' ability to successfully compete for promotion.

1. Definitions

Documentation: Written material about performance events, improvements desired, or guidelines for job growth. Examples are: E-mail, memos, marked-up work products, or other correspondence, e.g., from the public.

Evaluation Period: A set time period for assessing employee performance, usually one year—but may be shorter.

Evaluator: The person who assesses employee performance, usually the immediate supervisor. May include a higher level official who observes employee performance.

Performance Event: A positive, negative or otherwise noteworthy example of job performance.

Performance Plan: Describes job duties, projects and performance standards for which the employee is responsible.

Performance Review: Evaluation of employee job performance for the evaluation period.

Rating: The quality level of employee performance over a defined period of time.

- **"Distinguished"** Employee produces exceptional or commendable work in multiple responsibility areas on a consistent basis, and at least meets expectations in all other areas. Usually recognized by peers, internal and external leadership as a major contributor or expert in the field.
- **"Exceeds Expectations"** Employee exceeds standards set for one or more major responsibility areas and at least meets expectations in all other areas. May sometimes produce exceptional work in one or more areas.
- **"Meets Expectations"** Employee meets standards set for all major responsibility areas without notable exception; but may infrequently exceed or fail to meet standards in one or more major areas. (Please note that a single failure to meet a standard could separately subject employees to accountability under the "just cause" standard.) Performance is fully competent and dependable on a consistent basis.
- **"Needs Improvement"** Employee fails to meet standards consistently in one or more areas of responsibility despite sometimes achieving or even exceeding standards in other areas. Opportunities for improvement have not been sufficiently met.
- **"Unsatisfactory"** Performance in one or more major responsibility areas is chronically deficient. Employee has been unable or unwilling to meet minimally acceptable performance expectations in one or more areas despite being given opportunities to improve.

Reviewer: A higher level manager than the evaluator, usually the evaluator's supervisor.

2. The Performance Plan

The Plan shows how each job is linked to the success of the organizational mission and objectives. It sets duties, responsibilities and assignments, as well as expectations, such as quality, quantity, time factors and the manner of performance, if applicable. It gives employees a clear picture of job accountabilities. Noteworthy changes in these factors may require an updated Plan.

2.1 The Form:

What is the agency mission and/or operational needs that this employee's job performance will affect? This section briefly explains how the employee's job helps the agency function. How does it help meet organizational goals? It allows the evaluator and employee to see how the job is tied to the work unit and agency mission.

Please list the duties, projects or performance standards that will be used for evaluation purposes. Note: job dimensions may be substituted and/or included: This section sets the performance expectations essential for job success. What are these expectations? What is the employee responsible for? What standards will the employee be judged by?

2.2 The Duties:

Include important job duties, projects and performance standards that can be documented. When choosing the important duties, three questions should be answered:

- Is the employee held accountable for the responsibilities described?
- Can the accountability be measured or evaluated?
- Are the expected results obtainable?

Several information sources are available. The agency mission statement, plans, goals and objectives will guide job expectations. Class specifications will add information. Some jobs may already have specific job descriptions, job dimensions or task lists prepared, e.g., "Attendance: This employee is subject to the standards set forth in the Attendance Reliability policy."

2.3 Roles in Performance Planning:

Question: Who is responsible for doing the Performance Plan?

Answer: Agency management. Evaluators who supervise employees in the same classification could

work together on the Plan. Therefore, employees in the same classification may have identical performance plans. Then, the employee and evaluator review it for accuracy. The reviewer has final authority to resolve any issues. Finally, the manager, evaluator, and employee sign the Plan, and copies are given to all parties.

3. The Performance Review

At the end of the evaluation period, collect any documentation of performance events that occurred during the review period. Did the job get done? Why or why not? Where was the employee's performance commendable, deficient or noteworthy? How can skills be developed?

3.1 Preparation:

The evaluator and employee meet. Employees may evaluate their own performance and provide supporting documentation. Before meeting, the evaluator completes the Performance Review. The reviewer checks it for any conflict with other information about the employee's performance. For any rating other than "Meets Expectations," documentation should be provided or referenced to support the rating. The evaluator and reviewer should resolve any issues before presenting the Performance Review to the employee. The reviewer may also comment. The absence of either positive or adverse documentation shall, of necessity, require a rating of "Meets Expectations." If the rating is "Meets Expectations," the evaluator provides a summary statement to that effect.

3.2 The Form:

Areas where performance was distinguished or exceeded expectations: Areas of specific performance deficiencies or unsatisfactory work: The evaluator collects documentation of Performance Events made during the review period, i.e., *before* the form is completed. Since documentation is recorded as Performance Events occur, completion of the form itself should be simple and take relatively little time. Documentation should support the rating. If there is none, it is assumed the employee's performance "Meets Expectations."

Documentation should focus on observable Performance Events. Dates, times, and specificity are important. Abstract concepts such as "potential" or "attitude" should be avoided unless backed by specific, documented behaviors. Here are some examples:

Example 1:

"This is to commend your work in recent weeks. More specifically, I appreciate that you not only willingly took over Mike Smith's caseload during his absence from June 6 through 18, you also managed to close out 7 of your own cases during that same period which, as you know, exceeds the standard set in your Performance Plan."

Example 2:

"Gina, I just wanted to let you know how much I appreciated that you were able to complete the mowing of all the median strips yesterday even though the highway crew was short-staffed."

Example 3:

"This will confirm our discussion yesterday about chronic errors in your work. For example, in the Brown case file, the inside address in the May 11, 2006, letter indicates the letter is going to Ms. Whyte; however, the salutation says "Dear Ms. Jones." Four other examples of unacceptable work are attached. While you said that the mistakes had nothing to do with listening to the radio while you type, you must simply make an immediate and sustained improvement by greater attentiveness and proofreading to eliminate such easily avoidable errors."

Example 4:

At approximately 4:20 p.m. yesterday, I observed Joe standing by the shed door juggling tools as the telephone rang six times before he saw me approach and finally answered the call.

Areas where growth or skills/knowledge development is suggested or needed. If not applicable, please use this space and/or attach summary explanation of how employee meets expectations:

At times, it may be important to increase knowledge, skills and abilities for career growth or improvement. Assistance should be provided for any area listed under "Areas of specific performance deficiencies or unsatisfactory work." Assistance may include:

- help from the supervisor or other employees
- formal training
- showing more effective ways of doing work
- prescribing changes in behavior
- on-the-job training
- new or alternative duties

[Alternatively, evaluators may provide a summary statement which explains that employees have met the expectations set forth in the Performance Plan.]

Employee-provided documentation of performance events, comments and/or self-

review: Employees may comment or add documentation they have collected during the evaluation period (which the evaluator accepted at the time offered) to support a self-review.

We have met and discussed this document. The employee's overall performance is (Distinguished), (Exceeds Expectations), (Meets Expectations), (Needs Improvement) or is (Unsatisfactory). Please circle one. At the review meeting, the evaluator and employee discuss the Performance Review, including any disagreement. **Consistently distinguished/commendable or deficient/unacceptable work in one or more critical areas may determine the overall rating.** For example, an unacceptable customer relations record may, standing alone, justify a "Needs Improvement" or "Unsatisfactory" rating. The evaluator determines the overall rating. The agency

Human Resource office should conduct a quality assurance check of the Performance Review prior to filing.

Please note: A rating of Unsatisfactory must be documented in writing and the specific weaknesses must be made known to the employee. The employee shall be given documented assistance to improve by the designated supervisor. An opportunity for re-evaluation will be provided within a period of three to six months.

Summary

Performance Review is a continuous process. Plans should be clear and reflect changing organizational needs. Positive Performance Reviews may improve employees' ability to successfully compete for promotional opportunities. Documentation of performance events should be made as they happen. If you have questions about Performance Review, contact your supervisor, your agency Human Resource office or Human Resource Management.

SAMPLES

The State of Delaware Performance Plan

Name, Job Title: **Robin Green, Physical Plant Maintenance/Trade**

Department-Division-Section: **Department of State - Historical and Cultural Affairs - Delaware State Museum (20-06-04)**

Supervisor, Job Title: **Terry Black, Curator**

Date, or time period covered:

1. What is the agency mission and/or operational needs that this employee's job performance will affect?

Our mission is to exhibit and preserve the historical and cultural treasures of Delaware, while educating the public about them. Toward this end, your role is to ensure visitor, staff and collections safety and to assist in the development of exhibits.

2. Please list the duties, projects or performance standards that will be used for evaluation purposes.
Note: Current job dimensions may be substituted and/or included.

Compliance - Follow Bureau policies for security and collections.
Turn in expenditure log and receipts every 2 weeks.
Maintain vehicle logs.
Maintain maintenance schedule.

Safety- Monitor use of equipment and tools.
Make sure equipment/tools are in proper working order.

Conduct- Cooperate with maintenance staff and curators.
Coordinate projects with contractors, staff.

Production- Respond to and resolve emergency, late night or weekend calls.
Repair physical damages on emergency basis.
Assist curators/staff with special projects.
Sketch layouts for projects, estimate needs, and carry out plans.

Employee/date

Evaluator/date

Reviewer/date

The State of Delaware Performance Review

(Please complete the sections that apply.)

Name, Job Title: **Robin Green, Physical Plant Maintenance/Trade**
Department-Division-Section: **Department of State - Historical and Cultural Affairs - Delaware State Museum (20-06-04)**
Supervisor, Job Title: **Terry Black, Curator**
Date, or time period covered:

1. Areas where performance is distinguished or exceeds expectations, if any:

Thank you for volunteering to assist the curators in the preservation of the Debraak artifacts. The 3 extra weekends that you worked in March and April kept the project on schedule and, of course, helped conserve the history of Delaware.

As is noted by the attached E-mail, dated May 14, 2006, I especially appreciated the innovative design you did for the Scandia project which enabled us to come in 17% under budget.

-
2. Areas of specific performance deficiencies or unsatisfactory work, if any:

-
3. Areas where growth or skills/knowledge development is suggested or needed. If not applicable, please use this space and/or attach summary explanation of how employee met expectations.

I suggest that you seriously consider taking the college course entitled "Historic Preservation: Theory and Practice," offered by the University of Delaware, Evening Division. The successful completion of this course or a comparable one will expand your knowledge base, increase your value to the agency, and may increase your promotability.

-
4. Employee comments, self-review and/or documentation of performance events.

We have met and discussed this document. The employee's overall performance is (Distinguished), (Exceeds Expectations), (Meets Expectations), (Needs Improvement) or is (Unsatisfactory). *Please circle one.*

Employee/date

Evaluator/date

Reviewer/date

The State of Delaware Performance Plan

Name, Job Title: **Chris White, Administrative Specialist I**

Department-Division-Section: **Department of Health & Social Services – Developmental Disabilities Services - Administration (35-11-10)**

Supervisor, Job Title: **Dana Grey, Administrative Officer**

Date, or time period covered:

1. What is the agency mission and/or operational needs that this employee's job performance will affect?

The mission of the Division of Developmental Disabilities Services is to support individuals with developmental disabilities and their families, in making informed choices that lead to an improved quality of life and meaningful participation in their communities through collaboration, education, prevention, and advocacy. Your role is to provide administrative support for the rehabilitation unit, allowing for more effective client services.

-
2. Please list the duties, projects or performance standards that will be used for evaluation purposes.
Note: Current job dimensions may be substituted and/or included.

Maintain client confidentiality.

Apply office standards to verbal and written communications.

Keep interpersonal interactions courteous and consistent.

Respond to requests promptly and in a dependable manner.

File letters and memos according to office system and be able to retrieve information quickly.

Type memos, letters, etc. Conduct proofreading to ensure that only error-free work products are distributed.

Coordinate meetings.

Complete assignments within allotted time.

Attendance reliability and punctuality are essential, as the nature of this job requires uninterrupted coverage of assigned duties. Therefore, while some absences may be unavoidable, you are expected to report on time to work every day as scheduled.

Employee/date

Evaluator/date

Reviewer/date

The State of Delaware Performance Review

(Please complete the sections that apply.)

Name, Job Title: **Chris White, Administrative Specialist 1**

Department-Division-Section: **Department of Health & Social Services – Developmental Disabilities Services (35-11-10)**

Supervisor, Job Title: **Dana Grey, Administrative Officer**

Date, or time period covered:

1. Areas where performance is distinguished or exceeds expectations, if any:

2. Areas of specific performance deficiencies or unsatisfactory work, if any:

As discussed on 6/27, 7/26, 7/28, 9/21, 10/11, 10/13, 10/16, 11/7, and 11/14, grammatical, typing and content errors must not be made on written communications (see attached letters). You must simply be much more attentive to these deficiencies and produce error-free work.

3. Areas where growth or skills/knowledge development is suggested or needed. If not applicable, please use this space and/or attach summary explanation of how employee met expectations.

As discussed earlier, spell check and grammar check must be used on each typed document. Enrollment in the spring session of the CEP Developing Proofreading Skills, Grammar for the Workplace, and Writing Smarter, Not Harder are strongly recommended.

4. Employee comments, self-review and/or documentation of performance events.

We have met and discussed this document. The employee's overall performance is (Distinguished), (Exceeds Expectations), (Meets Expectations), (Needs Improvement) or is (Unsatisfactory). *Please circle one.*

Employee/date

Evaluator/date

Reviewer/date