



# Performance Development System (PDS)

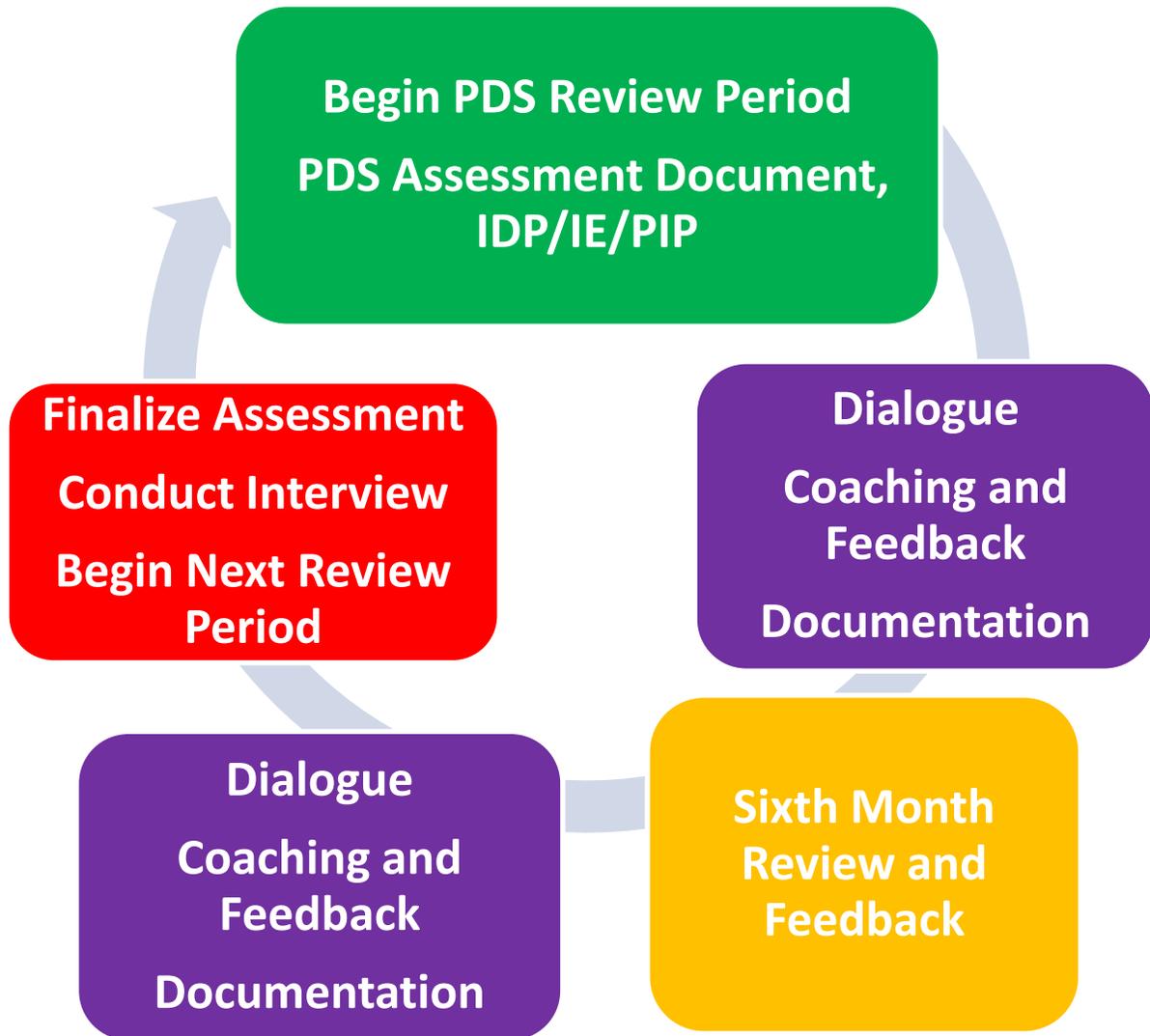
## Operations Manual

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## PDS Flowchart



# PERFORMANCE DEVELOPMENT SYSTEM OVERVIEW

## WHAT?

### A. APPLICABILITY

1. Every employee whose position is under the salary setting authority of the MSPB shall have his or her performance assessed at least once annually.
2. Assessments must be based only on the employee's performance of his or her assigned duties compared to the competencies/behavioral anchors for those duties.

### B. DESCRIPTION - The PDS is:

1. A competency-based system:
  - a. A competency is a skill, trait, or behavior that leads to a desired result.
  - b. The PDS Assessment document contains those job duties, competencies and behavioral anchors that define a Successful (3.0) rating.
  - c. The competencies are aggregated into the following three areas:
    - i. Public Sector Competencies (for all state employees);
    - ii. Management Competencies (for those in supervisory positions); and
    - iii. Technical Competencies (job-specific).
2. Designed to be a participative process between the supervisor and employee.
3. Designed to be simple and effective.
4. Based on continuous dialogue, coaching, and feedback.
5. Intended to maximize the performance, development, and engagement of employees.
6. Intended to maximize the performance of the organization as a whole.

### C. REVIEW PERIOD:

1. The duration of a Review Period shall be **at least ninety (90) days** and **not more than 365 days**, during which an employee's performance is evaluated.
2. **Probationary Employee**
  - a. The **Review Period** will begin within fourteen (14) days of the hire date of the employee.
  - b. The **Sixth Month Review** will be conducted within fourteen (14) days prior to the end of the sixth month from the date of hire (or earlier in cases where completion of required job training results in reclassification).
  - c. A Final Assessment will be completed within fourteen (14) days prior to the end of the twelfth month from the date of hire (or earlier in cases where completion of required job training results in reclassification).

3. **State Service Employee**

- a. The **Review Period** will begin within fourteen (14) days of the hire date of the employee.
- b. **Subsequent Review Periods** will begin:
  - i. Within fourteen (14) days of the date the employee changes supervisors or jobs —OR—
  - ii. Within fourteen (14) days of the end of the twelfth month of the PDS Review Period.
- c. **Mid-Cycle Review Session** will be conducted within fourteen (14) days of the sixth month of the beginning of the PDS Review Period

**NOTE: A valid assessment is one completed as a result of an employee's job performance within a Review Period of at least ninety days and no more than 365 days.**

D. **DOCUMENTS** - Each new review period will begin with:

1. A new and/or updated **PDS Assessment** document —AND—
2. An **Individual Development Plan (IDP)** as a component of the PDS Assessment —OR—
3. A **Performance Improvement Plan (PIP)** for employees whose performance level is rated at least Not Demonstrated (1.0) but lower than Improvement Needed (2.0) —OR—
4. An **Informal Effort (IE)** for employees whose performance level is rated at least Improvement Needed (2.0) but lower than Successful (3.0).

E. **GOALS** – The **PDS** is designed to:

1. Provide a structured, competency-based system to assure superior performance aligned with the organization's goals and requirements.
2. Allow for documented and defensible personnel decisions.
  - a. Align, develop, and leverage the potential of each employee.
  - b. Improve the quality and quantity of services.

**NOTE: This system, like all such systems, will achieve its goals only if:**

- ✓ There is ongoing dialogue, coaching, and feedback.
- ✓ There is thorough and continuous training of managers and employees.
- ✓ The integrity of the system is maintained through oversight by the Director of Human Resources or other agency designee.

# PERFORMANCE DEVELOPMENT SYSTEM OVERVIEW

## WHY?

### A. PDS BENEFITS

1. Provides a structured system to develop successful employee and supervisor performance aligned with organizational goals and requirements
2. Creates documented and defensible personnel decisions
3. Assesses performance of duties by evaluating employees based upon the competencies and behavioral anchors that describe those duties
4. Moves from strict “measurability” to include “observability,” taking into account personal traits
5. Helps employees perform at a higher level by communicating expectations, valued behaviors, and supporting superior performance
6. Ensures that employees know what is expected of them on the job
7. Enables employees to know what competencies and behavioral anchors separate the unsuccessful performer from the successful performer
8. Allows employees to receive regular, objective, and specific performance feedback-
9. Creates joint ownership of the performance development process
10. Identifies training and development needs
11. Helps determine whether employees are in the correct job
12. Improves employee engagement and retention of successful performers

# PERFORMANCE DEVELOPMENT SYSTEM OVERVIEW

## HOW?

### Phase 1

- A. Training of supervisors and employees
- B. Planning- Supervisors work with employees to:
  - 1. Define job duties
  - 2. Define job competencies
  - 3. Select behavioral anchors
  - 4. Set goals
  - 5. Develop PDS Assessment Document
  - 6. Develop IDP, IE, or PIP
- C. Set up Supplemental Employee Performance Folder (SEPF)

### Phase 2

- A. Ongoing Dialogue, Coaching, and Feedback to:
  - 1. Encourage frequent dialogue
  - 2. Provide ongoing feedback
  - 3. Listen
  - 4. Encourage
- B. Documentation
  - 1. Track progress on PDS, IE, or PIP
  - 2. Update any changes in job duties or competencies
- C. Review Performance
  - 1. Mid-Cycle Review

### Phase 3

- A. Prepare for Final Review
  - 1. Review documentation
  - 2. Prepare the final assessment
  - 3. Have the final assessment approved by the First Level Reviewer
- B. Final Assessment Interview
  - 1. Review final assessment with employee
  - 2. Request signature acknowledging final assessment
- C. Begin a New Assessment Period
  - 1. Resume and/or begin a new or revised IDP (unless the employee is put on an IE or PIP)

# PERFORMANCE DEVELOPMENT SYSTEM PROCESS

## OVERVIEW OF COMPETENCIES AND BEHAVIORAL ANCHORS

A **competency** is a skill, trait, or behavior that leads to a desired performance result. A **competency model** defines the core competencies associated with outstanding performers and links the culture of an organization to job performance.

A competency model attempts to clarify the knowledge, skills, and behaviors that provide for successful performance in any job. The value of the model comes from the definition of each competency and its behavioral anchors.

The competencies are aggregated into three areas – public sector, management, and technical. **Public Sector Competencies** are those competencies desired in every employee. Integrity, customer service, and dependability are examples of such competencies. **Management Competencies** are assigned to various management and supervisory job classes and include areas such as coaching and resource management. **Technical competencies** are job or job class specific and help define expectations and outcomes of job task performance.

Within each competency family, a number of **behavioral anchors** specifically define how a competency is exhibited through behavior. Behavioral anchors provide employees with a clear understanding of the behaviors they will be required to demonstrate.

## PDS CRITERIA FOR EVALUATION INCLUDE:

**Job Duties; Public Sector, Management, and Technical Competencies; and their related Behavioral Anchors**

## PDS RATING SCALE:

Outstanding (4.0) – Employee is above the level of expected competency

Successful (3.0) – Employee consistently shows competency

Improvement Needed (2.0) – Employee shows frequent, but not consistent, competency

Not Demonstrated (1.0) – Employee does not show competency

0/NA - Not Applicable – Supervisor has no objective basis for making an assessment

## **COMPONENTS OF THE PERFORMANCE DEVELOPMENT SYSTEM:**

### **PHASE I - PREPARATION**

#### **A. Training**

Each agency is responsible for providing effective training for each individual who will be conducting assessments. This training should be designed and delivered in such a manner as to ensure an understanding of and the ability to effectively utilize the Performance Development System.

#### **B. Planning- Dialogue**

1. The planning session should involve **two-way communication** between the supervisor and employee about the job and should result in mutually understood specific performance expectations.
2. The PDS Assessment document for each employee should include **public sector competencies, technical competencies, and management competencies** (if the employee is a supervisor and/or manager).
3. It should be made clear to the employee that the **purpose** of the process is to:
  - a. Communicate valued performance behaviors;
  - b. Facilitate a relationship built on shared understanding of performance expectations;
  - c. Improve performance and employee engagement; and
  - d. Allow for targeted coaching and employee development.

#### **C. Planning- PDS Assessment Document**

1. The supervisor and employee should review and make any changes necessary to the employee's Job Content page.
2. A planning session must be held between the supervisor and employee within fourteen (14) days prior to the beginning of the assessment review cycle. During this session, the supervisor and employee should discuss **performance and career goals, duties, and competencies and behavioral anchors** to be included on the PDS Assessment document.
3. Following this meeting, the supervisor will complete the **PDS Assessment document** and send it to the **First Level Reviewer** for approval.
4. A copy of the approved document will be provided to the employee for review and **discussion**.
5. Following a thorough discussion of this document, the **employee and the supervisor will sign and date the form**.

**NOTE: The employee does not have to concur with the duties, competencies, or behavioral anchors, but he or she is required to sign, acknowledging he or she has had the document thoroughly reviewed with him or her.**

6. The **employee** will keep a copy of the document.
7. The **supervisor** will maintain the original in the employee's performance file (see SEPF below).
8. A copy will be sent to the agency's Human Resources office.

**D. Supplemental Employee Performance Folder**

1. The supervisor maintains a **Supplemental Employee Performance Folder (SEPF)** for each employee.
2. The SEPF contents may be reviewed by the employee at any time and should contain **only** information relevant to the employee's **PDS Assessment document**, any **supporting documentation**, and the **IDP, IE, or PIP**. It **should not** contain any information regarding disciplinary issues or information that should be kept in the employee's personnel file. Any questions regarding this issue should be directed to the agency's Human Resources office.

**E. Change in Position or Manager**

An employee who has been under the current PDS Review period for at least ninety (90) days and who is moving from one position or one supervisor to another must have an exit assessment (closeout) by his or her current supervisor and a new assessment put into place within fourteen (14) working days by their new supervisor.

**F. Changes**

Any changes to the PDS Assessment document that are required during the Review Period should be thoroughly discussed by the supervisor and employee. Those changes should be reflected on the PDS Assessment document and should be initialed and dated by the supervisor and employee.

**PHASE II – IMPLEMENTATION**

**A. Ongoing Dialogue, Coaching and Feedback**

**1. Dialogue**

Ongoing two-way communication between the employee and supervisor will facilitate the performance development process.

**2. Coaching and Feedback**

Ongoing coaching and specific performance feedback should be provided by the supervisor throughout each review period and documented.

**B. Documentation**

Documentation related to the PDS Assessment document and subsequent performance expectations should be **collected by the supervisor and employee throughout the Review Period** and maintained by the supervisor in the Supplemental Employee Performance Folder (SEPF).

## C. Mid-Cycle Reviews

### 1. Probationary Employees

An initial assessment must be conducted within fourteen (14) days of the end of the sixth month from the hire date for probationary employees. If completion of required job training results in reclassification, the initial assessment may be conducted earlier.

### 2. State Service Employees

A minimum of one (1) documented progress review must be conducted during each Review Period for state service employees. The primary intent is to review the IDP, IE, or PIP, to continue with performance-related dialogue, and to provide feedback that would allow time to make a course correction if necessary.

## D. Final Reviews

Each employee's job performance must be assessed, in writing, and reviewed with the employee at least once per Review Period.

**NOTE: A valid assessment cannot be done on an employee who has not been functioning under the specified assessment for at least ninety (90) days.**

### 1. Assessment Review Meeting

#### a. When:

The assessment is scheduled and conducted by the supervisor at least fourteen (14) working days prior to the end of the assessment cycle or fourteen (14) days prior to closing out the assessment early due to a change in jobs and/or supervisors.

#### b. What:

- i. The supervisor and employee discuss the employee's strengths and accomplishments and any areas that were assessed as Improvement Needed (2.0) or Not Demonstrated (1.0).
- ii. If there are differences in the two perspectives, these are discussed and used as an opportunity to clarify questions and issues.
- iii. The supervisor and employee review and set priorities for development needs, goals, and work product.
- iv. The supervisor and employee discuss training and development activities and strategies that will allow the employee to achieve the designated goals.

**NOTE: If the PDS was correctly implemented throughout the Review Period, this meeting should go smoothly, and there should be no surprises.**

**E. Final Assessment Determination**

The supervisor closes out the completed PDS Assessment document and routes it to the First Level Reviewer for final approval.

**F. Final Assessment Interview**

1. The completed PDS Assessment document is presented to the employee for his or her review.
2. The document is signed and dated by the supervisor and employee.

**NOTE: The employee does not have to concur with the assessment, but he or she is required to sign acknowledging that the document has been explained to him or her.**

3. If the overall rating is Successful (3.0) to Outstanding (4.0), the supervisor and employee complete an Individual Development Plan (IDP) and agree on a communication strategy to ensure that the development plan is working throughout the next performance cycle.
4. If the overall rating is at least Improvement Needed (2.0) but not Successful (3.0), the supervisor, with employee assistance if possible, completes an Informal Effort (IE).
5. If the overall rating is at least Not Demonstrated (1.0) but not Improvement Needed (2.0), the manager, with employee assistance if possible, completes a Performance Improvement Plan (PIP).

**PHASE III – SYSTEM BENEFITS, OVERSIGHT, AND INTEGRITY**

**A. Benefits:**

1. **The PDS provides the tools to:**
  - a. Improve productivity, job satisfaction, and employee engagement;
  - b. Identify career tracks and promotional opportunities;
  - c. Increase and improve employee competencies and employee engagement;
  - d. Plan and prepare for future job assignments;
  - e. Support probation or dismissal actions;
  - f. Increase turnover of poor performers;
  - g. Reduce turnover of superior performers; and
  - h. Improve organizational performance.

**B. The PDS ensures that competencies are assessed consistently within departments.**

**C. The PDS provides for supervisor accountability.**

Each supervisor should have a duty statement and related competency and behavioral anchors on his or her PDS Assessment document that addresses the effective implementation of the PDS.

**D. The PDS incorporates monitoring and evaluation into the system.**

The Human Resources Director or agency designee will monitor the system internally for consistency, quality and effectiveness, ensuring uniformity across all areas of the organization.

**NOTE: Effective performance development not only improves individual employee performance and employee engagement, it also improves the performance of the entire organization.**

# PERFORMANCE DEVELOPMENT SYSTEM APPENDICES

## A. PERFORMANCE DEVELOPMENT SYSTEM CHECKLIST

1. PERFORMANCE DEVELOPMENT SYSTEM TRAINING CHECKLIST
2. PERFORMANCE DEVELOPMENT SYSTEM IMPLEMENTATION CHECKLIST

## B. INDIVIDUAL PERFORMANCE DEVELOPMENT SYSTEM GUIDES

1. GUIDE FOR CONDUCTING ASSESSMENT SESSIONS
2. GUIDE FOR JOB CONTENT PAGE
3. GUIDE FOR INDIVIDUAL DEVELOPMENT PLANS (IDP)
4. GUIDE FOR INFORMAL EFFORTS (IE)
5. GUIDE FOR PERFORMANCE IMPROVEMENT PLANS (PIP)
6. DOCUMENTATION GUIDE
7. FEEDBACK GUIDE
8. ELEMENTS OF SUPPLEMENTAL EMPLOYEE PERFORMANCE FOLDER (SEPF)

## C. DEFINITION OF TERMS

## PERFORMANCE DEVELOPMENT SYSTEM TRAINING CHECKLIST

- A. **Begin a Review Period within fourteen (14) days of hire or a new cycle.**
1. **The Performance Development System Overview:**
    - Ensure that the employee understands the **Performance Development System**.
  2. **PDS Document Review – Joint Process:**
    - Select and/or revise the **essential duties** from the Job Content page.
    - Discuss the **essential duties** as well as the **competencies and behavioral anchors** to be included on the PDS document.
    - Thoroughly review the PDS document.
    - Send the PDS document to the **First Level Reviewer** for final approval.
  3. **Supervisor Expectations:**
    - Explicitly state expectations related to the duties, competencies, and behaviors.
    - Explain how the ratings are determined.
    - Explain what the employee can do to meet expectations.
    - Explain what happens if the employee does not meet expectations, i.e. if he or she has a final rating on the PDS Assessment document below Successful (3.0).
  4. **Documentation:**
    - Discuss the documentation process.
    - Explain the employee's role in documenting his or her performance.
  5. **Supplemental Employee Performance Folder (SEPF):**
    - Discuss what it is, what it contains, and confidentiality of contents.
  6. **Informal Efforts (IE):**
    - Explain the IE process and implications.
  7. **Performance Improvement Plan (PIP):**
    - Explain the PIP process and implications.
  8. **Individual Development Plan (IDP):**
    - Discuss the IDP process.
    - Discuss employee's performance and career goals, and identify three areas that will be targeted for the IDP.
    - Jointly develop the IDP.
  9. **Final PDS Assessment document:**
    - The First Level Reviewer approves the final PDS Assessment document.
    - If there are changes, the final meeting provides an opportunity to discuss those changes. If there are no changes, the meeting is an opportunity to review the document.
    - Give employee a copy of his or her approved PDS Assessment document.
    - Supervisor and employee sign and date the PDS Assessment document.
    - The original is placed in the employee's SEPF.
    - The employee gets a signed copy.

- The First Level Reviewer gets a copy.
- The agency's Human Resources office gets a copy.

**B. During the Review Period**

**1. Coaching and Feedback** requires:

- Continuous performance coaching and feedback from the supervisor.
- Two-way communication throughout the process.
- Ongoing observation and documentation.
- Joint problem solving, if necessary.
- Revision of PDS Review document and/or IDP, IE, or PIP, if necessary.

**C. The Mid-Cycle Review**

**1. Prepare for official Review and Feedback Session:**

- Review documentation related to employee's performance.
- Write comments for those behaviors and competencies that would be rated below Successful (3.0) if a rating were to be done, giving examples of specific behaviors that need to be changed.
- Have the employee assess his or her performance for this period and be prepared to discuss with the supervisor.
- Schedule a meeting with the employee.

**2. Conduct official Review and Feedback Session:**

- Discuss the employee's assessment of his or her performance.
- If there are discrepancies between the employee's and the supervisor's assessment, address those as they come up in the discussion.
- Attempt to resolve the discrepancies.
- Review and discuss any other written comments with employee.
- Allow employee to ask questions and write his or her own comments.
- Specifically address any issue that suggests a problem.
- Supervisor and employee sign and date the Review and Feedback Form.
- Employee is given a copy of the form.
- The original form is placed in the employee's SEPF.
- The agency's Human Resources office gets a copy.

**D. Ending the Review Cycle (within 14 days of ending a Review Period cycle)**

**1. Prepare for the Final Review:**

- Schedule the final assessment interview no later than fourteen (14) working days prior to the end of the Review Period.
- Discuss the employee's assessment of his or her performance.
- If there are discrepancies between the employee's and the supervisor's assessment, address those as they come up in the discussion.
- Attempt to resolve any discrepancies.
- Review and discuss any other written comments with the employee.
- Allow the employee to ask questions and write his or her own comments.

- \_\_\_ The supervisor and the employee sign and date the Review and Feedback Form.
- \_\_\_ The employee is given a copy of the form.
- \_\_\_ A copy is placed in the employee's SEPF.
- \_\_\_ The original form goes to the agency's Human Resources office.
- \_\_\_ If the overall rating is Successful (3.0) to Outstanding (4.0), the manager and the employee complete an Individual Development Plan and agree on a communication strategy to ensure that the development plan is working and begin a new cycle.
- \_\_\_ If the overall rating is at least Improvement Needed (2.0) but less than Successful (3.0), the supervisor completes an Informal Effort (IE), with employee assistance if possible, and creates and/or implements a communication strategy to ensure that the IE has every opportunity to work.
- \_\_\_ If an IE is successful, a new Review Period is begun.
- \_\_\_ If an IE is not successful, the supervisor should consult with the agency's Human Resource's office to determine whether to continue the IE or move to a PIP.
- \_\_\_ If the overall rating is at least Not Demonstrated (1.0) but less than Improvement Needed (2.0), the supervisor, with employee assistance if possible, completes a PIP, and they agree on a communication strategy to ensure that the improvement plan has every opportunity to work.
- \_\_\_ If a PIP is successful, a new Review Period is begun.
- \_\_\_ If a PIP is not successful, the supervisor should consult with the agency's Human Resource's office to determine any further action.

## Performance Development System Implementation Checklist

### A. Beginning the Review Period

- \_\_\_ Within fourteen (14) days of the beginning of the Review Period, discuss the important duties, Individual Development Plan, and competencies and behavioral anchors of the job with the employee. A conversation should be held and an agreement met regarding the employee's Individual Development Plan.
- \_\_\_ Complete the PDS Assessment document.
- \_\_\_ Review the PDS Assessment with the First Level Reviewer for approval, and obtain signature and date.
- \_\_\_ Meet with the employee and review and finalize the PDS Assessment.
- \_\_\_ Request the employee's initials on each page of the Assessment, and get request that the employee sign and date Part A, Section 1.
- \_\_\_ Provide the employee with a copy.
- \_\_\_ Provide the Human Resources Office with a copy.
- \_\_\_ Put originals in the Supplemental Employee Performance Folder (SEPF).

### B. During the Review Period

- \_\_\_ Provide continuous coaching and feedback to the employee.
- \_\_\_ Place employee and supervisor performance documentation in the SEPF.
- \_\_\_ Review and update the IDP with the employee as needed.
- \_\_\_ Conduct at least one formal Review and Feedback session of the behavioral anchors for the competencies being assessed during the sixth month of the Review Period for a permanent employee. If the employee is a probationary or new employee, conduct an initial assessment within fourteen (14) days of the date of hire and conduct a mid-cycle review within fourteen (14) days of the end of the sixth month.
- \_\_\_ During the formal Review and Feedback session, complete Section D, and go over the R&F Column on the PDS Assessment with the employee.
- \_\_\_ Have the employee sign and date Part A, Section 2.
- \_\_\_ Provide the employee with a copy of the Assessment.
- \_\_\_ Place the original Assessment in the SEPF.
- \_\_\_ Send a copy of the assessment to the agency's Human Resources office.

### C. At the End of the Review Period

- \_\_\_ Within fourteen (14) days of the end of the Review Period, review the documentation in the SEPF and assess the employee's performance against the competencies established at the beginning of the Review Period

- \_\_\_ Discuss the assessment with the First Level Reviewer.
- \_\_\_ Record the assessments of the behavioral anchors for each competency required for the job in Section D.
- \_\_\_ Complete written statements regarding the reasons for your assessment in the “Results” section of each competency. **In the case of an “Improvement Needed” or “Not Demonstrated” assessment rating, written statements explaining the reasons are required.**
- \_\_\_ Calculate the overall performance assessment rating.
- \_\_\_ Record overall performance assessment rating in Part A, Section 3.
- \_\_\_ Request a signature and date from First Level Reviewer of the PDS Assessment.
- \_\_\_ Conduct a final assessment interview with the employee to discuss the performance assessment rating and documentation.
- \_\_\_ Request an employee signature and date in Part A, Section 3.
- \_\_\_ Review and discuss the accomplishments listed in the IDP, IE, or PIP.
- \_\_\_ Provide the employee with a copy of the PDS Assessment document.
- \_\_\_ Retain copies in the SEPF.
- \_\_\_ Route the original to the Human Resources Office.

#### D. The New Review Period

- \_\_\_ The time of the final assessment interview may also be used to begin the next Review Period.
- \_\_\_ If the previous PDS Overall Competency Assessment was Outstanding (4.0) to Successful (3.0), the IDP should be updated to include any additional competency development and activities needed for the new review period and continued for the new review period.
- \_\_\_ If the previous PDS Overall Competency Assessment rating was Improvement Needed (2.0), an Informal Effort (IE) must be developed with all competencies and activities identified that will be required of the employee during the IE 180 day period in order to achieve a Successful (3.0) rating. The IDP will not be updated or active during the IE 180 day period.
- \_\_\_ If the employee has achieved the Successful (3.0) rating at the end of the IE 180 day period, the Informal Effort is closed. It is then signed and dated by the First Level Reviewer, Reviewing Supervisor, and employee. At this time, the IDP of the employee should be activated again and updated with new competencies and goals to be developed and continued.
- \_\_\_ If the employee has not achieved the Successful (3.0) rating at the end of the IE 180 day period, one of two things occur. If there is noticeable improvement in performance, the employee may remain on an IE for another 180 days. If there is no significant improvement, the employee may be placed on a PIP. (See pages - 25-26 for details).
- \_\_\_ If the previous PDS Overall Competency Assessment was Not Demonstrated (1.0), a Performance Improvement Plan (PIP) must be developed. The PIP must identify all necessary competencies and activities to be accomplished by the

employee in order to achieve a Successful (3.0) rating during the PIP 90 day period. The IDP will not be updated or active during the PIP 90 day period.

\_\_\_\_ If the employee has achieved a Successful (3.0) rating at the end of the PIP 90 day period, the PIP is closed. It is then signed and dated by the First Level Reviewer, Reviewing Supervisor, and employee. At this time, the IDP of the employee should be activated again and updated with new competencies and goals to be developed and continued.

\_\_\_\_ If the employee has not achieved a Successful (3.0) rating at the end of the PIP 90 day period, the Reviewing Supervisor should discuss further action with the agency Human Resources Director.

\_\_\_\_ Within fourteen (14) days of the beginning of the new Review Period, the PDS Assessment document should be completed. Then the assessment review cycle then begins again.

# PERFORMANCE DEVELOPMENT SYSTEM GUIDE FOR CONDUCTING ASSESSMENT SESSIONS

## A. Planning

1. Plan what will be discussed related to the PDS.
2. Anticipate questions, and be prepared to respond to them.
3. Prepare to provide specific information regarding what will be assessed, how it will be assessed, and what is required to achieve a rating of Successful (3.0).

## B. Physical Setting

1. Conduct the session in a comfortable, private setting.
2. Create an air of informality by sitting on the same side of the desk as the employee or by sitting at a table.

## C. Considerations

- a. Block out sufficient time to conduct the session in a relaxed manner.
- b. Eliminate distractions and interruptions.
- c. Understand that the employee may be nervous.
- d. Put the employee at ease by being empathetic, i.e. putting oneself in the employee's place.

## D. Communication

1. Express concern for the employee's comfort.
2. Explain the purpose of the session, how long it will take, and the format. Make sure the employee understands by encouraging any questions about the process.
3. Begin by asking the employee to discuss his or her self-assessment. Listen and try to understand the employee's perspective.
4. Discuss, in a non-threatening manner, any areas in which there is a discrepancy in perspectives.
5. Ask the employee for feedback on what support the supervisor can provide to enhance performance.
6. Be open-minded, and do not take any suggestions or negative comments personally.
7. Review all factors to be evaluated, and give specific examples and facts, using available documentation.
8. Provide constructive suggestions for improvement.
9. Follow the guidelines for giving and receiving feedback.
10. Try to have balanced communication between the parties.
11. End the session with a discussion of goals, and complete an Individual Development Plan, Informal Effort, or Performance Improvement Plan.

## PERFORMANCE DEVELOPMENT SYSTEM GUIDE FOR JOB CONTENT PAGE

### A. Components of the Job Content Page

1. A **Duty Statement** is a distinct, major role or function which may include an employee's principal responsibilities and occupies a significant portion of his or her time.
2. **Job Complexity** indicates the difficulty and general complexity of the work performed in a given position. The scale ranges from 1-7 as follows:
  - a. The work is routine or highly repetitive and simple in nature with little or no choice of action.
  - b. The work is routine or repetitive and follows clearly prescribed standard practice involving straightforward application of readily understood rules and procedures. The employee may make minor decisions, usually of relatively little importance, which affect efficiency of the operation rather than accuracy, correctness, or quality of work.
  - c. The work is generally routine or standardized but involves a choice of action within limits defined by standard practices and instructions. It also requires applying established rules and procedures and making decisions that may affect quality, accuracy, or utility of results.
  - d. The work is generally semi-routine or diversified and requires judgment in applying broader aspects of established practices and procedures to problems and situations not falling clearly within the limitations of accepted standards and precedents. The employee works toward assigned objectives, sometimes adopting or modifying methods and standards to meet changing conditions.
  - e. The work is governed generally by broad instructions, objectives, and policies, usually involving frequently changing conditions and problems. It requires considerable judgment to apply factual background and fundamental principles in developing problem-solving approaches and techniques.
  - f. The work requires analysis of broad problems, the planning of interrelated activities, and sometimes requires the coordination of efforts of more than one major department or division. The employee develops programs and approaches to major problems using recognized general principles.
  - g. The work involves responsibility for consideration and analysis of major problems for the organization. It requires development of data and recommendations influencing decisions on long-term policies relating to major functions for which no precedent has been established.

3. The **Frequency of Duty** may be 1) Regularly, 2) Periodically, or 3) Infrequently.
4. Duties are rated as **Essential or Marginal** to the given position.
5. The **Consequence of Error** is rated on a 1-5 scale as follows:
  - a. Low – little effect beyond inconvenience
  - b. Limited – loss of time
  - c. Moderate – detrimental to reputation and services of the organization
  - d. High – loss of program effectiveness, embarrassment to the organization, and impacts on working relationships with other agencies
  - e. Serious – cause loss of life or limb

# PERFORMANCE DEVELOPMENT SYSTEM GUIDE FOR INDIVIDUAL DEVELOPMENT PLANS

## A. Individual Development Plan (IDP)

### 1. Initial IDP Meeting

- a. Prior to beginning the initial PDS Assessment, discuss the IDP process and goals with the employee. Identify his or her career and job goals and any competency or behavioral anchor that could be developed or enhanced with targeted developmental activities.

### 2. Components of the IDP

- a. Include no more than three (3) **specific competencies and/or behavioral anchors** to be developed or enhanced.
- b. Identify the **goals/desired outcomes** for each of the three areas identified.
- c. Determine what **developmental activities** would provide the greatest likelihood that the desired outcomes will be achieved.

**NOTE: The activities should be distributed as follows: 70% - Challenging, Uncomfortable, Stretching Tasks/Assignments; 20% - Studying and Working with Others to Observe Useful Behavior and Get Feedback, 10% - Thinking Differently or Finding New Ways to Think about Things (Courses, Reading, Etc.).**

- d. Determine **time frames** within which the employee is expected to achieve the desired outcomes.
- e. An evaluation of the **effectiveness of the developmental activities** in achieving the stated goals is **conducted at the conclusion of each activity**.

## B. Completing the IDP

1. **Career Goals** are the larger, “big picture” goals for the direction the employee’s career is taking. Examples of these include: a new hire learning the necessary knowledge and skills to perform effectively, advancement to another position, or leaving a legacy at the agency after retirement. Short term career goals have a target of 1-2 years. Long term career goals have a target of 3-5 years.
2. Under **competencies/behavioral anchors**, enter the competency and behavioral anchor that best correlates to the employee’s career goals. Choose from the competencies/behavioral anchors listed on the Performance Development Assessment (PDA).

3. Under the **goals/desired** outcomes section, list the effects that the development activities should have and/or how they should enhance the employee's demonstration of the competencies listed. (Example: become a better communicator or presenter).
4. **Developmental Activities** are the actions that the employee will take to reach the goals associated with the specified competency and behavioral anchor. These activities may include cross-training, attending a class, reading books on a specific topic, etc.
5. Each activity needs a **time frame** by which it will be completed. This time frame does not have to be consistent with PDS assessment dates such as "Review and Feedback" at six (6) months or final review at twelve (12) months. This time frame will vary depending on the activity. For example, if reading a short book is the activity, the time frame may be two to three weeks.
6. After the activity is done, an evaluation of the **effectiveness of the activity** is to be completed by the first level reviewer. Did the activity achieve the goal stated in the competency goal area?

# PERFORMANCE DEVELOPMENT SYSTEM GUIDE FOR INFORMAL EFFORTS

## A. Informal Efforts (IE)

### 1. Improvement Needed Performance

- a. Improvement Needed performance, as indicated by an overall assessment of 2.0—2.9 at the time of the final assessment, must be supported by appropriate documentation and result in an Informal Effort (IE) or a Performance Improvement Plan (PIP).

### 2. Review and Implementation of the IE

- a. The Reviewing Supervisor must explain the IE and the specific actions/steps to be taken by both the Reviewing Supervisor and the employee to improve performance.
- b. The Reviewing Supervisor should initiate the following actions: (1) counseling on a systematic, job-related basis; (2) regular and careful review of work; and (3) on-site and/or off-site training.

### 3. Overview of the IE

- a. The IE will specify what competencies and behavioral anchors will be targeted for improvement, based on the PDS Assessment Formal Review; when, where, and how often the supervisor and employee will meet during the IE period. It will also include the type of support to be given by the supervisor (coaching, counseling, training, etc.), the specific actions to be taken by the employee, and the specific performance expectations of the supervisor.
- b. The plan will provide a reasonable amount of time (180 days) for performance improvement to take place and must include a reassessment date.
- c. Within fourteen (14) days of the specified reassessment date, the supervisor and employee will meet to review expectations and progress of the employee in meeting those expectations.
- d. If the employee's performance is Successful (3.0) at that time, an IDP will be initiated.
- e. If the employee's performance has not reached Successful (3.0) at the time of the reassessment, the Human Resources Director will be informed immediately and will determine what action will be taken.
- f. If noticeable improvement is made, but performance does not reach Successful (3.0), the employee may be kept on the IE for another 180 days. For example, an employee whose performance goes from (2.1) at the

beginning of the IE period to (2.8) at the end of the 180 days should be eligible to remain on the IE.

- g. If performance does not improve or worsens, the employee **should** be placed on a PIP.

#### 4. Completing the IE

- a. The IE is completed on the same form as the IDP and PIP (Section D of the Performance Development Assessment).
- b. On the IE, only the short term **Career goal** will be completed. The goal of the IE is to bring the employee's level of performance to a Successful (3.0) rating within the given 180 day period.
- c. The **competencies/behavioral anchors** that should be addressed in the IE are those on which the employee failed to reach a Successful (3.0) rating.
- d. The **goals/desired outcome** of the developmental activity will be to improve performance to a minimum of Successful (3.0) within 180 days.
- e. Developmental activities will be determined by the supervisor, with input from the employee when possible, to work towards performance improvement.
- f. At the end of the 180 day period, the reviewing supervisor will evaluate the **effectiveness of the activity**, which will be determined by whether the employee's performance has improved to Successful (3.0).

# PERFORMANCE DEVELOPMENT SYSTEM GUIDE FOR PERFORMANCE IMPROVEMENT PLANS

## A. Performance Improvement Plan (PIP)

### 1. Not Demonstrated Rating

- a. A Not Demonstrated rating, as indicated by an overall assessment of 1.0—1.9 at the time of the final assessment, must be backed by appropriate documentation and result in a Performance Improvement Plan (PIP).

### 2. Review and Implementation of the PIP

- a. The PIP must be reviewed by the Human Resources Director or his or her designee prior to being presented to the employee.
- b. Upon approval, the PIP must be discussed with the employee and be signed off on by both parties within fourteen (14) working days of the final assessment interview.

### 3. Overview of the PIP

- a. The PIP will specify what competencies and behavioral anchors will be targeted for improvement, based on the PDS Final Assessment; and when, where and how often the supervisor and employee will meet during the PIP period. It will also include the type of support to be given by the supervisor (coaching, counseling, training, etc.), the specific actions to be taken by the employee, and the specific performance expectations of the supervisor.
- b. The plan will provide a reasonable amount of time, ninety (90) days, for performance improvement to take place and must include a reassessment date.
- c. On the specified reassessment date, the supervisor and employee will meet to review expectations and progress of the employee in meeting those expectations.
- d. If the employee's performance is Successful (3.0) at that time, an IDP will be initiated.
- e. If the employee's performance has not reached Successful (3.0) at the time of the reassessment, the Human Resources Director will be informed immediately and will determine what action will be taken.

### 4. Completing the PIP

- a. The PIP is completed on the same form as the IDP and IE (Section D of the Performance Development Assessment).
- b. On the PIP, only the short term **Career goal** will be completed. The goal of the PIP is to bring the employee's level of performance to a Successful (3.0) rating within the given ninety (90) day period.

- c. The **competencies/behavioral anchors** that should be addressed in the PIP are those on which the employee failed to reach a Successful (3.0) rating.
- d. The **goals/desired outcome** of the developmental activity will be to improve performance to a minimum of Successful (3.0) within ninety (90) days.
- e. Developmental activities will be determined by the supervisor, with input from the employee when possible, to work towards performance improvement.
- f. At the end of the ninety (90) day period, the reviewing supervisor will evaluate the **effectiveness of the activity**, which will be determined by whether the employee's performance has improved to Successful (3.0).

## **PERFORMANCE DEVELOPMENT SYSTEM DOCUMENTATION**

One of the key tasks for any employer is creating and maintaining thorough documentation that employment matters are handled **fairly and consistently**.

Given the importance of proper documentation in all employment matters, supervisors should keep in mind the following tips.

### **ELEMENTS OF GOOD DOCUMENTATION INCLUDE:**

- A clear statement of purpose;
- Specific headings on who, what, why, when and where;
- A clear description of relevant facts;
- An objective rendition without personal opinion;
- Facts, not opinions;
- Recounting of employee acknowledgement of relevant policy;
- Proof of policy adherence;
- Clear statement of a course of action;
- Dates;
- Signatures of all relevant parties or documentation that a party refused to sign; and
- Sound and consistent filing system.

### **COMMON DOCUMENTATION PROBLEMS ARE:**

- Missing or insufficient documents;
- Untimely documentation;
- Subjective evaluations;
- Inconsistency;
- Over-documentation;
- Improper filing; and
- Conflicting documentation.

### **AVAILABLE SHORTCUTS IN DOCUMENTATION INCLUDE:**

- Calendar entries;
- Memo forms;
- Good note taking during sessions and interviews; and
- A plan for sessions.

**TIPS FOR DOCUMENTING EMPLOYEE PERFORMANCE:**

- Use the Performance Development System.
- Make effective use of the competencies and behavioral anchors.
- Provide consistent feedback to reinforce and document notice.
- Document as a matter of routine.
- Focus on performance, not on people.

## PERFORMANCE DEVELOPMENT SYSTEM FEEDBACK

### Feedback Goals:

- Acknowledge and reinforce specifically what things are going well, i.e. answer the question, “How am I doing?”
- Identify where change is needed and exactly what change needs to be made, i.e. answer the question, “What do I need to do differently?”
- Increase common understanding of performance expectations.
- Improve future performance and communication.

### Giving Feedback:

- Address specifics, not generalities.
- Be descriptive and discuss behavior.
- Focus on finding solutions and looking toward the future.
- Ask for input.
- Be respectful of the dignity and opinions of others.

### Receiving Feedback:

- Listen carefully.
- Ask clarifying questions.
- Acknowledge what is being said.
- Take your time, and allow the employee to do so as well.

# PERFORMANCE DEVELOPMENT SYSTEM

## SEPF

### **SEPF CONTENTS:**

The Supplemental Employee Performance Folder (SEPF) should contain all data relevant to the job performance of the individual employee to whom it pertains. It should not contain disciplinary or personnel information. Appropriate SEPF information includes:

- The original version of the current Performance Development System Assessment document.
- A copy of the previous assessment document, if available.
- Examples of work, if appropriate.
- Any performance-related information the employee wants to contribute, including a self-assessment.
- Any valid performance-related information, positive or negative, from the supervisor or other sources.
- Documentation of failure to demonstrate desired behavior for reasons beyond the employee's control, if appropriate.
- Results of each review and feedback session.
- The original version of the Individual Development Plan, Informal Efforts, or Performance Improvement Plan and any follow-up documentation, if appropriate.

### **SEPF ACCESS:**

The SEPF must be maintained by the supervisor in a secure location, apart from the employee's personnel file, and shared ONLY with the employee, the First Level Reviewer, and the Director of Human Resources or his or her designee.

All contents of the SEPF are available upon request to the employee.

## **PERFORMANCE DEVELOPMENT SYSTEM DEFINITIONS**

**DEVELOPMENT:**

- A set of learning experiences designed to maximize performance and engagement of employees throughout the organization.
- The strategic investment by an organization in the training and development of its members.

**FINAL ASSESSMENT RATING:** The last assessment of the review period which results in a determination of Outstanding (4.0), Successful (3.0), Improvement Needed (2.0) or Not Demonstrated (1.0) performance.

**FIRST LEVEL REVIEWER:** The Reviewing Supervisor's immediate supervisor.

**IMPROVEMENT NEEDED (2.0) PERFORMANCE:** Assessment level indicating that an employee shows frequent, but not consistent competency required for the position.

**INDIVIDUAL DEVELOPMENT PLAN (IDP):** A written action plan, jointly developed by the employee and the reviewing supervisor to foster individual performance growth.

**INFORMAL EFFORT (IE):** A written action plan, jointly developed by the employee and the reviewing supervisor to outline actions required to bring a final Improvement Needed (2.0) performance assessment to a Successful (3.0) performance assessment level.

**NOT DEMONSTRATED (1.0) PERFORMANCE:** Assessment level indicating that an employee does not show the competency required for the position.

**OUTSTANDING (4.0) PERFORMANCE:** Assessment level indicating that an employee is above the expected level of competency required for the position.

**PERFORMANCE DEVELOPMENT SYSTEM (PDS):** A system which assesses an employee's performance and provides employees with a plan that fosters individual employee development.

**PERFORMANCE IMPROVEMENT PLAN (PIP):** A written action plan, jointly developed by the employee and the reviewing supervisor, to outline actions required to bring a final Not Demonstrated (1.0) performance assessment to a Successful (3.0) performance assessment level.

**REVIEW PERIOD:** A time period of at least ninety (90) days and not more than 365 days for which an employee's performance is reviewed.

**REVIEWING SUPERVISOR:** The last person to have supervised the employee for a minimum of a ninety (90) day period at the time the Final Assessment is due.

**SECOND LEVEL REVIEWER:** The immediate supervisor of the First Level Reviewer.

**SUCCESSFUL (3.0) PERFORMANCE:** Assessment level indicating that an employee consistently shows competency equal to that required for the position.

**VALID ASSESSMENT:** An assessment completed as a result of an employee's job performance for at least ninety (90) days and no more than 365 days.