

Performance Management Toolkit

Pennsylvania Department of Public Welfare

Office of Children, Youth and Families





COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF PUBLIC WELFARE

November 16, 2012

Dear Colleague:

In support of the Department of Public Welfare's (DPW) mission, the Office of Children, Youth and Families (OCYF) has been working to embed a system of continuous quality improvement practices designed to improve services and outcomes for children, youth, families and communities. As we work toward this goal, critical to the success of this initiative is to ensure that employees are aware of what is expected of them and how the work they perform on a daily basis contributes to achieving these outcomes.

As we proceed, performance management principles will serve as a foundation for this new system. More specifically, offices throughout OCYF will be establishing employee related performance standards and expectations, processes for monitoring progress and measure results, appraising employees, and rewarding or correcting employee performance.

By January 1, 2014 management personnel will develop and review with their subordinates, performance standards that include the identification of the work to be accomplished, information as to how the completion of work will be measured, and expectations related to satisfactory performance.

Management and supervisory staff will also work with employees to integrate these performance standards into employee's daily work activities, the agency's procedures and to provide the training necessary to complete the work and related performance standard. The concept of performance management will be viewed as an ongoing, positive and proactive process that considers not only quality and quantity aspects of work performance, but also attitudinal factors affecting performance.

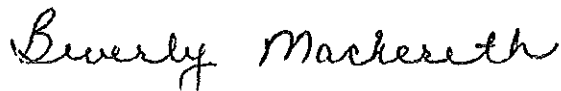
Another critical process of performance management will be that of coaching employees and providing feedback related to their successes or limitations at meeting work performance expectations. Supervisors will use coaching to inspire, encourage and challenge employees.

One of the final elements of performance management to be implemented throughout OCYF will be to assess an employee's work performance against the goals, standards and expectations that were communicated at the beginning of the employee's evaluation period and incorporate the results into their Employee Performance Review.

Included with this letter is a toolkit to assist you in the sequential procedural process for assessing an employee's performance. This toolkit includes valuable resources to assist in areas such as updating a position description, developing performance standards from that updated position description, assessing an employee's performance of those job duties and applying that performance onto an employee performance review, conveying these items to your employees, and dealing with an employee performing at an unsatisfactory level. Also, in the toolkit you will find sample performance standards for two classifications in OCYF. These are meant to assist you in developing your own employee's standards.

We hope that you will find this information very useful when developing performance standards. If, at any time, you need assistance, please contact one of the following members on the performance standards workgroup listed below.

Sincerely,



Beverly Mackereth
Deputy Secretary

ChildLine: Terry Clark

Interstate Compact Unit: Jason McCrea

Bureau of Juvenile Justice Services: Russell Zemanek

Bureau of Budget and Fiscal Support: Stephanie Weigle

Deputy Secretary's Office: Stephanie Weigle

Bureau of Programs, Policy and Operations: Stephanie Weigle

Bureau of Children and Family Services: Mark Davis or Elaine Bobick


PERFORMANCE STANDARDS TOOLKIT

The toolkit includes the following resources:

- Management Directive 540.7 – Performance Management Program
- Management Directive 520.7 – Development and Validation of Performance Standards
- Department of Public Welfare Performance Management Handbook
 - Section 1 – Overview
 - Section 2 – Progress Reviews
 - Section 3 – Probationary Periods
 - Section 4 – Work Plans
 - Section 5 – Supervisory Conferences, Supervisory-Employee Discussions, and Supervisory Counseling Sessions
 - Section 6 – Appeals
 - Section 7 – Performance Standards
 - Section 8 – Refusal to Sign
- Office of Children, Youth & Families Guidelines for Performance Standards
- Example of Human Services Program Specialist Performance Standards
- Example of ChildLine Caseworker Performance Standards
- Frequently Asked Questions
- Available Performance Standards Tools for Supervisors
- Performance Standards Planning Form
- Employee Performance Review form

MANAGEMENT DIRECTIVE

Commonwealth of Pennsylvania Governor's Office

Subject: Performance Management Program	Number: 540.7 Amended
Date: May 2, 2011	By Direction of:  Kelly Powell Logan, Secretary of Administration
Contact Agency: Office of Administration, Office of Human Resources Management, Bureau of Workforce Planning and Development, Workforce Planning and Performance Division, Telephone 717.787.3813	

This directive establishes policy, responsibilities, and procedures for the Performance Management Program for all commonwealth employees. Marginal dots are excluded due to major changes.

1. **PURPOSE.** To establish policy, responsibilities, and procedures for the commonwealth's Performance Management Program, and provide agencies with program guidelines.
2. **SCOPE.** This directive applies to all departments, boards, commissions, and councils (hereinafter referred to as "agencies") under the Governor's jurisdiction.
3. **OBJECTIVES.**
 - a. To provide reviewing officers and raters with guidance on their performance management duties.
 - b. To provide reviewing officers and raters with employee performance evaluation mechanisms.
4. **DEFINITIONS.**
 - a. **Anniversary Date.** The first day of the month in the year following the latest appointment transaction, i.e., hire, rehire, dual hire, promotion, demotion, transfer, reclassification, return from furlough, or reassignment.

- b. Attorney Performance Evaluation and Compensation System (APECS).** An employee performance review system that is used exclusively for evaluating commonwealth attorneys under the Office of General Counsel (OGC), in which performance is tied into the attorneys' compensation.
- c. Employee Performance Review (EPR).** A periodic work performance evaluation by the rater of how much, how well, and the manner by which an employee performed his or her duties and responsibilities during the evaluation period.
- d. Evaluation Period.** The period of time that an employee's work performance is assessed.
- e. Interim Review.** A work performance review and rating by the rater that takes place between regularly scheduled EPRs. Generally occurs when a change takes place within an evaluation period, such as in supervision, job duties, and/or decreased work performance.
- f. Performance Evaluation Rating Cycle.** The designated time that commences the EPR, e.g., anniversary date cycle, fiscal year cycle, and calendar year cycle.
- g. Performance Evaluation System Coding.** Coding in SAP that delineates a position's assignment to a specific performance management system or evaluation form, which is based on the position, not the incumbent. See Enclosure 1, Performance Evaluation System Coding.
- h. Performance Management.** The process of setting performance standards and expectations, monitoring progress, measuring results, appraising, and rewarding or correcting employee performance. The five principle elements of performance management include:
 - (1) Plan.** Planning involves aligning an employee's work performance standards and expectations with the organization's strategic goals. Planning begins by identifying the work to be done and then prioritizing the tasks to accomplish the work. Performance standards should include three components: the work to be accomplished; how it will be measured, and the expected level for success. Work standards should be Specific, Measurable, Achievable, Realistic, and Time-bound (SMART).
 - (2) Implement.** Essential to any plan is action. Implementation includes integrating work performance standards with daily work activities and procedures. Training should be provided to ensure employees are knowledgeable to complete the work and are aware of performance standards and expectations.
 - (3) Observe.** Quality-minded supervisors select appropriate methods to observe and document employee work performance, being mindful of an employee's actions and environmental influences that affect productivity. Since performance management is an ongoing, positive, and proactive process, supervisors should consider not only quality and quantity aspects of work performance, but also attitudinal factors affecting performance. Observation should occur throughout the evaluation period.

- (4) **Coach.** Coaching is the process of providing feedback to employees on their success or limitations at meeting work performance expectations. Coaching has the greatest effect when it is delivered soon after the performance that is being discussed. Coaching is used to inspire, encourage, and challenge employees.
- (5) **Evaluate.** The final element is to assess an employee's work performance against established goals, standards, and expectations communicated at the beginning of the evaluation period. This culminates in the annual performance evaluation report. Since work performance discussions should occur throughout the cycle, another important aspect of assessment is the periodic progress review, which enables supervisors and employees to dialogue about accomplishments, shortcomings, and opportunities.
- i. **Performance System.** The method and related evaluation tool(s) used to monitor and evaluate individual employee work performance.
- j. **Progress Review.** An assessment of an employee's work performance that occurs at the mid-point for both annual and probationary evaluation periods. A progress review presented orally or in writing, should not include ratings of performance factors. Written reviews are encouraged. If completed orally, appropriate documentation of the discussion needs to be maintained by the supervisor.
- k. **Rater.** The employee's immediate supervisor. In certain instances, the reviewing officer or another manager knowledgeable of the employee's performance may do a rating in the absence of the immediate supervisor. These cases must be justified and documented on the evaluation form.
- l. **Reviewing Officer.** The immediate supervisor's supervisor. In certain instances, another manager knowledgeable of the employee's performance may be designated to function as the employee's reviewing officer. These cases must be justified and documented on the evaluation form.
- m. **Senior Management Service (SMS).** An assigned level of positions in the commonwealth's unclassified service which have broad policy participation and management responsibility.

5. POLICY.

- a. Pursuant to *Sections 206(5) and 704, Civil Service Act of August 5, 1941, P.L. 752, as amended; 4 Pa. Code, Subchapter B, § 99.11 through 99.15; and Management Directive 505.7, Personnel Rules*, all civil service and most non-civil service employees shall receive periodic performance evaluations.
- b. The following mandatory events occur during the annual performance evaluation period: conveyance of standards and expectations for the coming evaluation period; progress review (semi-annual or mid-probationary); and annual performance evaluation. An interim review may be used and/or required in some cases.

- c. The majority of commonwealth employees are covered by Form 363L and the process outlined in this Management Directive. Classes or positions exempted from the use of Form 363L are those specifically approved by the Office of Administration (OA) and include cabinet officials, SMS covered employees, attorneys under the jurisdiction of OGC, and Wine and Spirits Stores personnel assigned to the Pennsylvania Liquor Control Board (PLCB).
- d. Employees in those classes or positions that are exempt from 363L coverage must be evaluated under assigned systems (e.g., SMS, APECS, etc.). If exempt from any existing performance management system, the 363L or SMS forms may be used as the evaluation mechanism, as appropriate.
- e. Prior to implementation, each type of evaluation form used for civil service classes or positions must be reviewed and approved by the Executive Director, State Civil Service Commission (SCSC). All forms must be approved by the OA.
- f. Completion of ratings for civil service probationary periods and extensions are to meet time frames established in Management Directive 580.8, Classified Service Probationary Periods.
- g. The performance evaluation is not to be the official notification to an employee of an adverse action during the evaluation period. While the performance evaluation may be used to document that employee discipline has occurred, it must not be used as a method of discipline.
- h. All evaluation forms, EPR Links Guide, and additional information on performance management and employee performance reviews, including the APECS program, may be accessed at the OA, Human Resources Management (HRM) Web site.
- i. New raters and reviewing officers shall attend performance management/EPR training within six months of assuming their supervisory/managerial roles. Raters and reviewing officers shall complete refresher training on EPR core components every three years or more frequently as needed.
- j. Executive management shall become familiar with the overall requirement of performance management and the applicable EPR system(s), agency compliance, agency HR office monitoring procedures and reports, and the role of executive management in overall performance management and the EPR process.

6. RESPONSIBILITIES.

a. Agency Heads will:

- (1) Ensure that reviewing officers and raters are held accountable for their performance management responsibilities.
- (2) Ensure the EPR system(s) or alternate performance systems, such as the APECS, are administered properly and ratings are completed in a timely and substantive manner for all agency employees.

- (3) Make final decisions in cases of internal agency EPR appeals if elevated to the agency head level.

b. Agency HR Directors will:

- (1) Establish and disseminate internal agency instructions regarding performance management responsibilities, including the need for both raters and reviewing officers to have performance standards in place that delineate their responsibilities.
- (2) Determine agency annual rating cycle(s) and inform the OA, HR Service Center via the electronic personnel action request (E-PAR) to ensure employee rating cycles are coded accurately in SAP at the time of hire and as changes occur.
- (3) Educate executive management on the overall requirements of the EPR system, agency compliance, agency HR office monitoring procedures, and the role of executive management in the process.
- (4) Ensure that reviewing officers and raters are familiar with this directive and are trained in performance management in accordance with EPR Training in the Procedures section of this directive.
- (5) Generate monthly listings of annual and probationary EPRs due using the EPR Monthly Listing Database. Provide raters with listings of all EPRs due for their employees at least 60 calendar days for annual EPRs and at least 60 calendar days for probationary EPRs prior to the required completion date, and provide technical assistance in managing and evaluating performance as needed. Agencies may provide more advance notice at their discretion.
- (6) Establish effective monitoring processes to track the completion of performance evaluations for both civil service and non-civil service employees.
- (7) Establish follow-up procedures to ensure that delinquent ratings are completed.
- (8) Inform executive management of any continuing completion and timeliness issues associated with the EPR process.
- (9) Conduct a quality review of the EPRs received in the agency HR office to ensure that they are complete and that comments justify the ratings given. Return incomplete EPRs to the rater for completion. For those that require action, such as a requested meeting with the reviewing officer, ensure arrangements are made for issues to be addressed.
- (10) Ensure extracts from the Opportunities for Development section are given to the agency training officer or local training coordinator for use in the development of courses and/or coordination of training.
- (11) Ensure that performance evaluations are filed in the Official Personnel Folder (OPF) within 60 days of the performance period end date.

- (12) Monitor compliance with established policy and procedures.
- (13) Provide technical assistance to agency employees, raters, and reviewing officers to facilitate substantive EPRs and accurate completion of the form.
- (14) Ensure that the position supervisory codes properly match the employee-supervisory structure.
- (15) Complete and submit to OA by April 1 of each year, the required Annual EPR Timeliness and Completion Report for the preceding calendar year. Field HR offices should complete the report and forward it to their respective central HR office by an internal due date to compile the results and submit one composite agency report to OA. Central HR offices are responsible for ensuring the accuracy and timely reporting of this data.
- (16) Establish a post-audit or other monitoring process to ensure the provisions of this directive are met in agencies with field HR offices that administer the EPR process on a decentralized basis.

c. Raters will:

- (1) At the start of the rating period and as work assignments dictate:
 - (a) Develop and provide employees with written performance standards and expectations that are consistent with agency policy, strategic plans, objectives, and priorities; convey any weighting of the standards as they apply to the work to be performed.
 - (b) Ensure the accuracy of the employee's position description and essential job functions; update as appropriate. If updated, inform the agency HR office and the employee of the revisions.
- (2) Assess each employee's work performance. Conduct at least one progress review for each employee during the evaluation period. For probationary employees, determine if an extension of probation is necessary. For all employees, determine if an interim review is needed. Conduct appropriate reviews and extend probationary periods as warranted, in compliance with Civil Service Rules and Collective Bargaining Agreements. Ensure that standards and ratings are applied consistently to employees under the rater's supervision.
- (3) Complete the applicable annual performance evaluation form on time, in accordance with the respective time limits contained in Enclosure 2. Conduct the performance discussion with the employee after the reviewing officer has provided comments, signed, and dated the form:
 - (a) Use Form 363L to rate employees at the end of their rating cycle for annual, end of probationary period, and interim evaluations, and as a guide for conducting progress reviews.

- (b) Provide an overall rating based upon a composite of the factor ratings, considering those factors that may be substantially more important than others and that carry greater weight in the overall assessment of the employee's performance. The Comments sections must be completed for all areas and provide the rationale for the given ratings, particularly where certain job factors are considered more important than others.
 - (c) Complete the Employee Strengths section by identifying strong attributes, abilities, or proficiencies.
 - (d) Complete the Opportunities for Development section by annotating those areas that need improvement and corresponding means to address areas of concern and/or provide opportunities for professional growth, such as identifying courses/classes and/or other developmental tasks that should or must be taken during the new rating period.
 - (e) Forward the performance evaluation form to the reviewing officer for review, comments, signature, and date.
 - (f) Discuss the evaluation and work performance rating with the employee and obtain comments, signature, and date.
 - (g) Make necessary copies consistent with internal processing procedures. Forward the original form to the agency HR office for filing in the employee's OPF. Provide a copy to the employee and retain a copy as the rater.
- (4) Maintain adequate documentation to support ratings. Consider use of an employee performance improvement plan if an employee's performance is rated as needs improvement or unsatisfactory on any individual job factor or the overall rating. However, if the employee's overall performance is rated as unsatisfactory, then an employee performance improvement plan must be used. Consult with the agency HR office for additional guidance.
- (5) Identify, discuss, and coordinate training needs and developmental opportunities. Consider use of an individual development plan.
- (6) Conduct at least one required progress review during the evaluation period, either semi-annual or mid-probationary period, and maintain a record of the discussion and date on which the progress review occurred.
- (7) Provide frequent and constructive performance feedback to employees.

d. Reviewing Officers will:

- (1) Ensure raters are familiar with this directive and receive training necessary to complete ratings properly and that they comply with their performance management responsibilities as outlined in this directive; and that these responsibilities are reflected in the rater's performance standards. Standards must address timely completion of ratings. Evaluate raters accordingly.

- (2) Provide input and assessment on performance standards to ensure that standards are in alignment with agency goals, strategic plans, priorities, and are consistent with similar positions. Also ensure that raters under their supervision employ a consistent approach to applying performance standards and the rating process.
- (3) Participate in the evaluation process as outlined in this directive. Review EPRs, provide feedback to the rater, add reviewing officer comments, and sign, date, and return to the rater.
- (4) Discuss ratings/standards with employees at their request and resolve disagreements between raters and employees. If such disagreement is not resolved, the performance evaluation is to reflect the rating of the rater, and the reviewing officer is to address the disagreement in the comments section. If disagreement exists between the rater and reviewing officer, refer to the Review and Appeal section of this directive.

e. Employees will:

- (1) Perform the duties of the job.
- (2) Review the position description, essential job functions, and work performance standards and expectations to ensure currency, accuracy, and understanding.
- (3) Notify the rater of resource, training, and supervision needs, and ask questions to clarify information.
- (4) Review and respond to employee performance reviews within a reasonable time frame, typically five working days, unless additional time is agreed upon by the rater and employee.

f. OA, HRM, HR Service Center will:

- (1) Process initial coding and any additions, changes, or deletions to probationary period end dates and extensions, performance system code, and performance cycle code via receipt of the E-PAR request from agency HR offices.
- (2) Modify the EPR Monthly Listing Database and instructions annually and make them available on the [OA, Human Resources Management \(HRM\) Web site](#).

g. OA, HRM, Bureau of Workforce Planning and Development will:

- (1) Develop statewide policy and procedures related to performance management and evaluation, monitor the administration of the EPR systems, develop and conduct performance management and EPR training, and provide technical assistance, as needed.
- (2) Report to agencies on how they compare to other agencies based on the timeliness and completion of EPRs.

- h. SCSC** will review performance evaluation forms and procedures utilized for classes or positions in the classified service prior to their implementation and use.

7. PROCEDURES.

a. EPR Training.

- (1)** Agency HR offices shall ensure that raters and reviewing officers receive adequate education that addresses, at least, the following:
 - (a)** Performance management responsibilities and accountability, and the EPR process.
 - (b)** Purpose of performance evaluations and importance of their timely and substantive completion.
 - (c)** Importance and methods of developing and conveying work performance standards and expectations.
 - (d)** Guidelines for:
 - 1** Documenting performance.
 - 2** Completing progress reviews and interim reviews.
 - 3** Completing the performance evaluation form.
 - 4** Conducting quality performance based discussions.
 - 5** Managing employee probationary periods and interim rating cycles.
 - (e)** Methods of recognizing employee accomplishments and addressing employee work performance issues.
 - (f)** Purpose and use of the Employee Strengths and Opportunities for Development sections.
 - (g)** Use of the Form 363L EPR Links Guide.
 - (h)** Internal agency procedures/timeframes.

b. EPR Notification.

- (1)** The EPR system is administered on an annual cycle. Unless stipulated by the OA, agencies are to determine the rating cycle(s) for the organizations within the agency. Agencies may choose any annual cycle(s) appropriate for their environment and, once assigned, cycles should be applied consistently to all employees within the designated organizational area.

- (2) A performance evaluation rating cycle code is to be designated in SAP for each employee. Information on annual rating cycles must be maintained in SAP to ensure accurate notification when ratings are due.
- (3) The anniversary date for EPRs that are on an anniversary date cycle is established in SAP on the Z8 (Annual EPR date) data field in Infotype 41 at the time of the latest appointment transaction.
- (4) Agencies are to periodically review employee rating cycles to ensure that all cycles are accurate and all applicable positions are appropriately coded.
- (5) Agency HR offices shall download the EPR Monthly Listing Database from the OA, HRM Web site and generate the monthly annual and probationary listings which contain general employee information. Agency HR offices shall then distribute the information and agency processing procedures to the appropriate rater for each employee due a rating at least 60 calendar days for annual EPRs and at least 60 calendar days for probationary EPRs prior to the required completion date.

c. EPR Completion.

- (1) The process for Form 363L includes:
 - (a) Form 363L is to be used to rate employees at the end of their rating cycle for annual, end of probationary period, and interim ratings. Form 363L in the electronic version is accompanied by the guide, "EPR LINKS," which can be accessed directly from the form.
 - (b) Raters with internet access may access Form 363L at the OA, HRM Web site, save it to their files, and complete the form consistent with the instructions contained in this Management Directive. Raters without internet access are to be provided with general employee information and a copy of Form 363L for each of their employees due a rating.
 - (c) At the beginning of the evaluation period, raters must:
 - 1 Ensure the accuracy of the employee's position description and essential functions. If modified, inform the central agency HR office.
 - 2 Provide employees with written performance standards and expectations for the upcoming evaluation period, and any weighting of the standards as they apply to the work to be performed. These must be conveyed in writing with a copy provided to the employee. Conveyed standards are to reflect priorities emphasized on Form 363L and expectations are to be aligned with agency plans and priorities. Raters must maintain a record of the date(s) that standards were conveyed.

- (d) Reviewing officers are to ensure raters establish standards that are consistent with agency goals, strategic plans, priorities, and similar positions, and that all raters under their supervision employ a consistent approach to the development and application of standards, and the ratings of their subordinates.
- (e) At least one progress review, either semi-annual or mid-probationary period, must occur. More frequent reviews are encouraged. Specific ratings are not to be assigned or referred to during the progress review. The rater should maintain a record of the discussion and date on which the progress review occurred.
- (f) Employees appointed, transferred, or promoted into non-civil service, non-supervisory, or SMS positions should receive an interim cycle evaluation within the first six months and are to receive annual ratings thereafter.
- (g) When a change in supervision is anticipated, supervisors should complete an interim evaluation or other documented feedback prior to the supervisor's departure.
- (h) Employee performance evaluations are to be filed in the employee's OPF within 60 calendar days of the performance period end date. These forms are confidential and are not considered a public record.
- (i) At the conclusion of the evaluation period, raters are to complete Form 363L evaluation process as follows:
 - 1 Obtain an electronic or hard copy version from the [OA, HRM Web site](#) or from the agency HR office. Ensure that the General Information section is complete and accurate, and indicate whether the employee is a supervisor or non-supervisor.
 - 2 Review the employee's position description, essential functions, and job standards to ensure the appraisal relates to the specific responsibilities, job assignments, and standards that were conveyed to the employee for the evaluation period.
 - 3 Update the position description and essential job functions, if necessary, for the next rating cycle. Notify the agency HR office of changes and communicate changes to the employee during the performance discussion.
 - 4 Indicate on Form 363L the date(s) the performance standards were conveyed to the employee and date(s) when the progress review(s) (semi-annual or mid-probationary) was conducted.
 - 5 Rate the employee by assessing each of six job factors (seven for supervisors) in relation to the established standards. Written comments are required for all ratings. Comments must be job relevant and specific enough to justify these ratings. For hard copy forms, additional paper for comments may be added, if needed. For the web-enabled version, the Comments section will expand as comments are entered.

- 6** Provide an overall rating based upon a composite of the factor ratings, which includes considering those factors that may be substantially more important than others and that carry greater weight in the overall assessment of the employee's performance. The Comments section is to address overall performance and provide rationale for the overall rating, especially where certain job factors are considered to be substantially more important than others.
 - 7** Complete the Employee Strengths section by identifying strong attributes, abilities, or proficiencies of the employee.
 - 8** Complete the Opportunities for Development section by listing knowledge, skills, and abilities that may need improvement, specific required training, and developmental activities to assist employees in addressing areas of concern or opportunities for professional growth. Agency HR offices are to provide information from this section to the agency Training Officer for use in the development of courses and/or coordination of training sessions. Supervisors are responsible for coordinating development opportunities to assist employees in increasing their knowledge and skills.
 - 9** Forward Form 363L to the reviewing officer for review, comments, signature, and date.
 - 10** Quality check the form with the rater and reviewer comments included. Ensure that the rater's and reviewing officer's signatures and dates are affixed.
 - 11** Discuss the evaluation and work performance rating with the employee and obtain comments, signature, and date. The rater should encourage the employee to sign the EPR, but if he or she refuses, then document "Employee Refused to Sign" in the Employee Comments section and initial and date the form. The EPR still becomes part of the employee's OPF whether or not it is signed. Raters should afford a reasonable time frame for the employee to review and make comments. Typically, five working days is adequate; however, additional time may be agreed upon by the rater and employee as circumstances warrant, e.g., the employee requests a discussion with the reviewing officer.
 - 12** Make necessary copies and distribute them according to internal processing procedures. Retain a copy as the rater, provide a copy to the employee, and forward the original to the agency HR office for filing in the employee's OPF.
- (j)** The agency HR office shall file each employee's completed EPR in the respective OPF within 60 calendar days of the performance period end date.

(2) The process specific to SMS evaluation includes:

- (a) Use of the SMS evaluation form is mandatory for all SMS designated employees, and may be used to evaluate other senior level non-civil service employees.
- (b) Raters are to evaluate SMS designated employees on a fiscal year rating cycle. Complete the applicable annual performance evaluation form on time, in accordance with the respective time limit contained in Enclosure 2. SMS performance evaluations must be received in the agency HR office and filed in the Official Personnel Folder (OPF) within 60 days of the performance period end date.
- (c) Prior to the start of the evaluation period, raters should develop and convey to the rated SMS employee objectives and standards consistent with agency goals, plans, and priorities that relate to the prescribed SMS performance factors.
- (d) Raters should establish adequate communication and feedback mechanisms to determine the status of a SMS employee's work performance during the evaluation period. On an annual basis, at least one semi-annual progress discussion should occur; more are encouraged. Inadequate performance should be discussed, documented, and appropriately addressed.
- (e) Newly-appointed or promoted SMS employees should be evaluated and given an interim rating within the first six months following appointment/promotion to the SMS covered position and are to receive annual ratings thereafter. The intent of the review is to provide feedback on the employee's work performance and does not imply any rights to the position.
- (f) Agency HR offices are to track the completion of SMS evaluations and report statistics on the required Annual EPR Timeliness and Completion Report.

d. EPR Tracking/Reporting. When completing an Agency EPR Timeliness and Completion Report, ensure that each month's statistics for ratings due and received are tracked separately so that delinquent ratings are not added to the ratings due and received in subsequent months. If ratings received late are added to the statistics for subsequent months, the integrity of the timeliness statistics is compromised. Generally, an annual EPR report is timely if it is received in the agency HR office by the last day of the due month. See Enclosure 2, Timeliness of Employees Performance Reviews.

e. Interim Review.

- (1) Interim reviews should be prepared during the rating cycle if:
 - (a) Employee's rater changes.
 - (b) Employee transfers or is promoted.

- (c) Job significantly changes, resulting in new standards but not a change in classification.
 - (d) Employee is assigned to work out of classification for an extended period of time.
 - (e) For other appropriate reasons as determined by the rater.
- (2) An interim review must be prepared if an employee's disciplinary action is initiated due to continued unsatisfactory performance. However, an interim review and annual performance evaluation must not be the official notification of the adverse action.
 - (3) Interim reviews are to be considered and incorporated when completing the employee's annual or probationary rating.
 - (4) For non-civil service and non-union represented or SMS employees, an interim review should be completed approximately six months following appointment, transfer, or promotion into the position. The review is intended to provide feedback on the employee's work performance and does not imply any rights to the position.

f. Review and Appeal.

- (1) If an employee is dissatisfied with a rating, the employee may discuss it with the reviewing officer. Meetings should occur within two weeks of the date of the request. The rater should coordinate with the reviewing officer to ensure the meeting with the employee occurs. A union covered employee is entitled to union representation at this meeting and all subsequent meetings regarding the evaluation. If disagreement exists between the rater and the reviewing officer, the appeal may be raised to the next level of authority. Both the rater and reviewing officer are to have relevant job information and documentation to support their positions.
- (2) Agencies may establish additional internal appeal procedures, including involvement of the agency HR office or agency appeal committee, if established. If the agency's internal appeal process includes the agency head, then the agency head's decision is the final step in the internal appeal process. Classified service employees may appeal alleged discrimination to the SCSC pursuant to *Section 951(b) of the Civil Service Act*.
- (3) Employees are permitted to include comments on the EPR. If comments exceed the space allotted on Form 363L, comments may be included on additional sheets of paper and attached to the EPR. Rebuttals to finalized EPRs are to be processed in accordance with *Management Directive 505.18, Maintenance, Access, and Release of Employee Information*.

g. Retention. EPRs, including annual, interim, and probationary reviews, are considered to be formal and official documents and should be filed in the employee's OPF in accordance with Management Directive 505.18, Maintenance, Access, and Release of Employee Information. Agency HR offices should maintain interim and probationary reviews in the OPF until they are superseded by a subsequent annual EPR which summarizes (not just references) the key contents of the subject interim or probationary review. Likewise, agency HR offices should maintain an interim or probationary review in the OPF for the same duration as that of an annual review when the subsequent annual review does not supersede the interim or probationary review. Note: Retain for a minimum of four years all interim and probationary ratings that are the basis for, or otherwise may be associated with discipline that has been administered; or that reflect, or may be associated with ongoing performance issues.

Enclosure 1 - Performance Evaluation System Coding

Enclosure 2 - Timeliness of Employee Performance Reviews

This directive replaces, in its entirety, *Management Directive 540.7*, dated March 5, 2002.

Performance Evaluation System Coding

The codes, their short text name in SAP, and a description of positions assigned that code include:

Code	Short Text	Description
A	Attorneys	The Attorney Performance Evaluation and Compensation System (APECS) is used to assess performance of attorneys, other than Deputy General Counsels and agency Chief Counsels, under the jurisdiction of the Office of General Counsel (OGC) and assign pay increases based on evaluation ratings and other factors.
G	General	The Employee Performance Review (EPR) system, which uses Form 363L, applies to all employees under the Governor's jurisdiction, including management, supervisory, and rank and file with exceptions as annotated in this chart. Seasonal or temporary employees should be evaluated using this system if it applies to the majority of agency employees.
L	PLCB	The Performance Evaluation Report for Store Personnel, Form PLCB 1678, is used to assess the performance of Pennsylvania Liquor Control Board (PLCB) Wine & Spirits Stores personnel. PLCB seasonal or temporary employees also should be evaluated under this system.
N	Gov Not Covered	N-coded employees typically are those who hold U codes as unclassified and are not required to be evaluated under any performance management system or on any evaluation form. This group covers the Governor, Lt. Governor, and agency heads, staff that report directly to the Governor, deputy heads of agencies, and employees with a special rate of pay as set by the Executive Board separate from the commonwealth's Compensation Plan. Supervisors of these employees may use Form 363L or the SMS evaluation form, if applicable, to evaluate the performance of these employees.
S	SMS	The Senior Management Service (SMS) evaluation form is used for assessing the work performance of commonwealth senior managers in the Senior Management Service. The SMS form may also be used to evaluate executive, U coded, and/or other senior level employees.
X	Non Gov Juris	Employees in this group are supported by SAP/IRIS but are not under the Governor's jurisdiction for reporting purposes. Supervisors of these employees may use Form 363L or the SMS evaluation form, if applicable.

Timeliness of Employee Performance Reviews

Anniversary Date Cycle: Ratings are due on the 1st of the month indicated on the EPR Monthly Listing Database. For example, if ratings are due on March 1, 20XX, they are considered timely if they are received by March 31.

Fiscal Cycle: Ratings are for the period July 1 through June 30. Ratings are due July 1, but are considered timely if they are received by July 31.

Calendar Cycle: Ratings are for the period January 1 through December 31. Ratings are due January 1, but are considered timely if they are received by January 31.

Federal Cycle: Ratings are for the period October 1 through September 30. Ratings are due October 1, but are considered timely if they are received by October 31.

Probationary Reviews: Ratings are considered timely if they are received by the probationary period ending date (not the last day of the month).

MANAGEMENT DIRECTIVE

520.7
Amended
Number

COMMONWEALTH OF PENNSYLVANIA
GOVERNOR'S OFFICE

Subject:

Development and Validation of Job Standards

By Direction Of:


Joseph S. Martz, Secretary of Administration

Date:

October 16, 2006

Agencies are required to submit documentation of occupational studies when submitting new or revised proposed job specifications for review by the Office of Administration and ultimate adoption into the Commonwealth's Classification Plan. This directive is being reissued to update and contains minor changes which are indicated by marginal dots.

1. **PURPOSE.** To establish policy and procedures for uniformly collecting and documenting information about Commonwealth work assignments which is needed by the Office of Administration to develop job standards, and which will be used by agencies and the State Civil Service Commission to develop recruitment and selection systems.

2. **SCOPE.** This directive applies to all agencies under the Governor's jurisdiction which develop new or revise existing job standards.

3. **OBJECTIVE.** To ensure that information in job standards is job-related and that this job-relatedness is demonstrable.

4. DEFINITIONS.

a. **Job Standard.** A written description of the duties and responsibilities, allocation standards, and applicant screening standards for a group of substantially similar positions. Job standards are also referred to as job specifications.

b. **Job Code.** A numeric or alpha numeric code used to identify the job involved in employee, applicant, and payroll transactions.

c. **Job Title.** The approved title of a job as included in the position classification plan. It shall be used on all personnel and payroll records and actions, but need not be used for internal administration.

d. **Job Definition.** That part of a job standard which describes the work, identifies factors to be used in the allocation of positions, and outlines the essential leveling criteria for the job. This includes such factors as the difficulty, complexity, variety, and scope of the work and the supervisory and nonsupervisory responsibilities for performing the work.

- **e. Examples of Work.** That part of a job standard which provides illustrative statements of work performed as part of one or more positions which are representative of work normally found at the level described in the job definition.
- **f. Required Knowledges, Skills, and Abilities.** That part of a job standard which sets forth the knowledges, skills, and abilities, which will be required of applicants for that job prior to employment, and that have been determined necessary for successful job performance.
- **g. Minimum Experience and Training.** That part of a job standard which lists the education and experience required of an applicant upon entry into the job.
- **h. Necessary Special Requirements.** That part of a job standard which lists any license, certification, or other requirement needed at the time of application, by law or funding sources, of individuals performing the work.
- **i. Conditions of Employment.** That part of a job standard which lists any license, certification or other position requirement needed at the start of employment.
- **j. Post Employment Requirements.** That part of a job standard which lists any license, certification or other position requirement needed for continued employment, but not before employment begins.
- **k. Job Expert.** A person who has direct and current knowledge of the duties, responsibilities, and requirements of a job being studied. Normally, this will be an incumbent or immediate supervisor. A job expert is also referred to as a subject matter expert.
- **l. Duty/Task Statement.** Statements which illustrate the type of work commonly assigned to positions in a specific occupational or program area. Also called a work behavior statement.

5. RESPONSIBILITIES.

a. The Executive Board is responsible for standardizing the qualifications for employment, and all titles, salaries, and wages including establishing different standards for different kinds, grades, and classes of similar work or service. (*Section 709(a) of The Administrative Code of 1929.*)

b. The Secretary of Administration is responsible for recommending to the Executive Board amendments to the classification plan to reflect changes in the nature, scope, kind, or level of work and to direct consultation with the staff of the State Civil Service Commission on standards which relate to the merit system. (*Section 24.1 of the Personnel Rules, Management Directive 505.7.*)

- **c. The Bureau of Classification, Compensation and Workplace Support, Office of Administration, (OA),** is responsible for reviewing the classification of all positions to ensure that job classifications are administered in accordance with the standards adopted by the Executive Board. It will also provide, in conjunction with the State Civil Service Commission, training and procedural guidance on conducting job analysis studies.

d. The State Civil Service Commission (SCSC) is responsible for conducting applicant assessment processes for classified service positions and ensuring that these processes are job related and conform to current standards for validity.

- **e. Heads of agencies** are responsible for assigning duties and responsibilities to positions, ensuring that job standards applied to positions under their direction are accurate, and for reporting and recommending appropriate changes to the Secretary of Administration for those job standards which are no longer appropriate.

6. PROCEDURES.

a. Determination of need for job analysis.

- (1) An agency, the Bureau of Classification, Compensation and Workplace Support, OA, or the SCSC will make a preliminary determination that a job analysis is needed because an existing job standard is no longer appropriate or a new job standard is necessary. This decision is normally based upon:
 - (a) Technological changes that have outdated the job standard.
 - (b) Management direction or organizational changes that have changed the nature of work and responsibilities.
 - (c) Labor relations considerations that have changed the appropriateness of work organization or description.
 - (d) Existing job or applicant evaluation standards that are inaccurate or inadequate.
- (2) Agencies will notify the Bureau of Classification, Compensation and Workplace Support, OA, of job analysis studies they are undertaking and provide estimated completion dates. The OA will notify the SCSC of studies which are likely to impact on classified service recruitment or assessment programs.

b. If it is determined that a job analysis will be conducted, agency personnel conducting the study shall:

- (1) Determine sources of job information (i.e., incumbents, supervisors, and other experts) and select a sample of sources from whom data will be collected. The sample should be large enough to be representative of the significant characteristics of the work force (i.e., field vs. central office assignment, metropolitan vs. rural assignment, etc.) The sample should be large enough to ensure complete information about the job.
- (2) Gather job information from incumbents, supervisors, and other appropriate experts.
- (3) Write duty/task statements which accurately describe the work performed.
- (4) Determine the relative importance of duty/task statements for each job or jobs in a series.
- (5) Define levels of work and allocation factors.
- (6) Derive knowledges, skills, and abilities from the duty/ task statements.
- (7) Determine the relative importance of knowledges, skills, and abilities; identify entry-level knowledges, skills, and abilities; and identify requirements that can be used for ranking.
- (8) Derive Minimum Experience and Training Requirements from important entry-level knowledges, skills, and abilities.
- (9) Verify that the information accurately describes the job and its requirements by having experts review the results of steps (3) through (8).

- (10) Complete the documentation process, including a report summarizing the job analysis and a written draft of a new job standard(s).
- c. Upon completion of the job analysis study, the new job standard with documentation should be:
 - (1) Reviewed for completeness and accuracy by agency management in the program area being studied.
 - (2) Reviewed by agency top management, then submitted to the Bureau of Classification, Compensation and Workplace Support, OA.
 - (3) Reviewed by Bureau of Classification, Compensation and Workplace Support, OA, and the SCSC, if applicable, for completeness and accuracy.
 - (4) Reviewed by other affected agencies.
 - (5) Reviewed by appropriate employee representatives as required by existing collective bargaining agreements.
 - (6) Transmitted to the Executive Board for final approval and adoption into the classification plan.
- **This directive supersedes Management Directive 520.7 dated April 3, 1997.**

PA Department of Public Welfare

DPW Performance Management Handbook

3/16/2012

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SECTION 1: Overview

DPW Performance Management Handbook

Performance Management is the process of creating a work environment where employees are able to perform to the best of their abilities and meet acceptable standards. Supervisors and managers are responsible for providing guidance, development, and assistance to their employees so they can perform at the highest level possible.

This handbook is designed to assist HR professionals, raters, and reviewing officers in managing the Employee Performance process. It covers several topics that are often problematic. However, it is not meant to be an exhaustive source of information regarding EPR or Performance Management policies and procedures. HR professionals, raters and reviewing officers should also familiarize themselves with the following:

MD 540.7 rev. 5-2-11, Performance Management Program

MD 580.8, Classified Service Probationary Periods

DPW HR Manual Section 7174, Discipline

M 505.4, Personnel Records Retention and Disposition Schedule

NOTE: the schedule requires keeping at least the three most recent annual EPRs in the OPF. However, **DPW requires EPRs to be kept in the OPF for five years.**

If you have any questions about performance management or the EPR process, please contact your local HR coordinator or DPW Labor Relations.

If you have any questions regarding EPR retention or EPR reports please contact DPW HR Workplace Support.

Annual EPR FAQs – MD 540.7

- When is the EPR due?

The EPR is considered timely if completed by the end of the month it is due.

- What if the reviewing officer disagrees with my ratings?

The rater and reviewing officer should discuss and resolve disagreements about ratings. However, the reviewing officer cannot force the rater to change a rating unless the rating is capricious or discriminatory.

- What if the employee's previous supervisor gave them a 'commendable' last year, but I think they are only 'satisfactory.'

The ratings on the current EPR must only reflect performance for the current rating cycle. Past annual ratings have no bearing on the current EPR.

- How do I determine whether an employee's performance is 'satisfactory' or 'needs improvement'?

STANDARDS! STANDARDS! STANDARDS!

- What if the employee disagrees with the rating?

Employees can request to meet with their reviewing officer. This meeting should take place within two weeks. Employees can also grieve their EPR thru the union (if applicable) or the State Civil Service Commission.

- What if the employee refuses to sign the EPR form?

Follow the guidance on DPW HR Bulletin Number 07-04.

- How much weight should I give an incident?

Keep in mind that the annual rating must reflect performance for the entire rating period. However, one significant incident can significantly impact the rating for an individual factor and/or the overall rating.

- Are all of the performance factors equal?

It is up to the rater and reviewing officer to determine the importance of each factor. Employees must be informed of these "weights" at the beginning of the rating cycle or whenever the "weights" change.

- What must I do if an employee earns an unsatisfactory rating overall?

You must conduct a Pre-Disciplinary Conference (PDC) to determine if the unsatisfactory rating is warranted. If it is, the employee must receive a step of discipline. If the unsatisfactory rating is found to be inappropriate, then it must be changed.

SPF and Discipline FAQ's

- If an employee is on probationary status due to a promotion and they are taking significant amounts of SPF, can the probationary period be extended solely on the basis of their missed time?

For full day absences the probationary period should be extended day for day.

- For a non-probationary employee, is being on SPF a justification for not meeting performance standards?

The use of SPF Absence cannot be considered against the employee when completing a performance review.

- When can a union employee file a union grievance regarding their rating?

If the employee believes there was some discriminatory reason behind the rating they could grieve the Discrimination/Employee Treatment provision of the contract (AFSCME Article 31/PSSU Article 33). This is true regardless of the level of rating they receive.

- What would occur if the employee won their grievance?

If they would win, the EPR would have to be adjusted or re-written by someone else who would be familiar with their work.

- Can job assignments be made or altered based on SPF absences? For example, a supervisor has three employees doing the same basic tasks – some of which are time sensitive and some are not. One of them starts missing time due to SPF. Can the supervisor revise the workload so that the two non-SPF employees get all of the time sensitive tasks and the SPF employee gets only tasks that are not time sensitive?

In general, assignments can be made/altered to ensure that the work gets done. However, since there are many variables that can complicate this, supervisors are strongly encouraged to seek guidance from Human Resources before they assign or alter work based on SPF absences.

- Can I be sued by an employee for what I write in their EPR?

There's really no way to prevent anyone from filing lawsuits, but the key is whether a lawsuit can survive against motions to dismiss it or for summary judgment in the defendant's favor. EPRs are not libelous UNLESS they are deliberate fabrications, intended to harm the subject employee. Also, they are not made public, and are a well recognized management tool. If the author of an EPR were sued, the Attorney General's Office would represent him/her without cost.

SECTION 2: Progress Reviews

Progress Reviews

Raters must conduct at least one progress review for employees during their probationary period. Raters must also conduct at least one progress review during the annual rating cycle. The purpose of the progress review is to inform the employee of whether or not their performance is meeting standards.

Raters may not use the official EPR form (363L) to document a progress review. Raters may not use the official rating language to inform employees of their level of performance during a progress review. In other words, raters may not tell an employee during a progress review that their current performance is Outstanding, Commendable, Satisfactory, Needs Improvement, or Unsatisfactory. Raters may only tell the employee that their performance either is or is not meeting standards.

Note: If an employee's performance warrants notification of the level of their performance, an official Interim EPR should be completed.

The Progress Review form on the following page should be used by all DPW raters. Program Offices may modify the Progress Review form or use a different form. However, there may be no documentation of rating levels on a progress review form.

DPW Mid-point Progress Review

(for Annual and Probationary EPRs)

Employee's Name:

Date Conference Held:

Time: _____ to _____

A. Discussion (specific topics covered):

B. Employee Strengths

C. Is the employee meeting standards: Yes No

1. If no, what specific improvements need to be made to meet standards and/or improve any performance deficiencies?

2. If employee is not meeting standards, what specific assistance is being offered to the employee to make appropriate corrections?

Employee's signature Date

Supervisor's signature Date

SECTION 3: Probationary Periods

Probationary Periods

Management Directive 580.8 (Classified Service Probationary Periods) and Management Directive 580.26 (Transfer or Reassignment of Classified Service Employees) both cover rules related to Civil Service probationary periods. Civil Service employees attain regular status upon successful completion of a probationary period. Regular status is related to the pay scale group (PSG) of the employee's job, not the specific job title. Regular status employees reassigned from one position to another position in the same title, or to a different title at the same maximum salary, or to a title with a lower maximum salary retain regular status and do not serve a probationary period unless the new position is a trainee class.

Civil Service probationary periods occur for:

- All new appointments in the classified service
- Promotions (movement to any position with a higher maximum salary)
- Civil Service probationary employees who are transferred, reassigned, or demoted shall continue to serve the remainder of their probationary period, unless the appointing authority with the consent of the prospective transferee, requires a full probationary period as a condition of the transfer
- Transfer or Reassignment to a Trainee class (See MD 535.5, Use of Trainee Classes in the Classified Service)

Civil Service probationary periods do not occur for:

- Lateral transfers and demotions once the employee has gained regular civil service status for that pay scale group

Examples:

- An AO1 has regular status and is qualified and selected for a Budget Analyst 1 position – the employee maintains regular status and does not serve a probationary period since both positions are in PSG 6 and the employee has already attained regular status at PSG 6.
- A Human Service Program Specialist has regular status and is qualified and selected for an Accountant 1 position – the employee maintains regular status since this is a demotion and does not serve a probationary period despite the dissimilarities of the job titles.
- A County Casework Supervisor has attained regular status while employed by Cumberland County and is qualified and selected for a Human Service Program Specialist position. Local Government employees covered by Civil Service are treated the same as state employees. Each county maintains their own pay scale and may pay employees in the same job title different amounts, however; BHR maintains a crosswalk of county job titles to the equivalent state PSG. County Casework Supervisor is equivalent to state PSG 7, therefore, this example is considered a lateral reassignment and the employee would retain regular status and not serve a probationary period.

Union probationary periods occur for:

- All appointments covered by a collective bargaining agreement or memorandum of understanding.
- Classified service promotions covered by a collective bargaining agreement or memorandum of understanding where classification is changed.

Examples:

- A rank and file unit employee is promoted to a supervisory unit.
- an employee is promoted within the same bargaining unit (Clerk Typist 2 to Clerk Typist 3).

Union probationary periods do not occur for:

- Classified service promotions covered by a collective bargaining agreement or memorandum of understanding where an employee works out of classification, and is subsequently promoted to the higher level position (time worked out of classification in the preceding six months credited toward the probationary period).

Example:

- An IMCW has been working out of class as an IMCW Supervisor for eight months.
- Lateral transfers and demotions where union status has already been granted for that same or similar class

Examples:

- A clerk typist accepts a lateral clerk typist position in a different region/agency.
- An IMCW resigns from employment, and is rehired at a later date to a position in the same class.
- An IMCW Supervisor in Harrisburg accepts a voluntary demotion to an IMCW in Philadelphia to be closer to family.

Additional issues:

- If a former employee who held regular Civil Service status is reinstated within two years from separation, the agency can decide if the employee will be placed in probationary or regular Civil Service status. If reinstated after two years, the employee must serve the full probationary period.
- Many county employees in local government agencies are covered by the Civil Service system. These employees are eligible to bid on vacancies the same as Civil Service covered state employees or may be selected from a Civil Service list. Civil Service county employees who transfer to state positions are new hires for purposes of benefits, leave, starting pay, etc., however; under Civil Service rules they are treated the same as a current Civil Service state employee. For example, a person who holds regular Civil Service status in a county Civil Service covered agency who is selected for a lateral transfer to a state position will maintain their regular status and not serve a new Civil Service probationary period. Because the counties have different pay schedules it is sometimes difficult to determine if an action is a lateral transfer, demotion, or promotion. Staff in the Human Resource Services Division will be able to determine this. Please consult with them when hiring a county employee to determine the type of action and whether a probationary period is required.

The process for removing an employee from employment who is in a probationary period due to unsatisfactory performance is:

- Ensure that the employee has received performance standards and document when this occurred.
 - At the first sign of performance issues, the rater must contact their supervisor and Human Resources representative to alert them to the situation and seek guidance.
 - The rater must ensure that the employee is given a progress review and document this. If the employee's performance is not satisfactory, this must be clearly stated to the employee. The rater must also provide counseling and assistance to help the employee improve their performance. Document performance deficiencies and as well as the dates of any counseling and the topics addressed.
 - Give the employee a reasonable amount of time to improve his/her performance. If the employee's performance does not improve and it appears that the employee will not achieve a satisfactory level of performance, the rater must complete an Employee Performance Review (EPR). If the employee is within 30 days of the end of their probationary period, then the EPR will be a Probationary EPR. If the employee has more than 30 days remaining in their probationary period, then the EPR will be an Interim EPR. The EPR must clearly document:
 - When the employee received performance standards
 - When the employee was notified that his/her performance was not satisfactory
 - What specific behaviors indicate that the employee's performance is not satisfactory
 - What specific assistance was provided to the employee to assist them to perform at a satisfactory level
 - Include the following statement in the Overall comments section: Your performance to date as a (classification) has been unsatisfactory and does not merit continued employment.
 - Schedule a meeting with the employee and present the EPR.
 - Schedule a pre-disciplinary conference (PDC) with the employee. The charge will be "Unsatisfactory Performance; specifically, your overall performance during your probationary period from _____ to _____, as reflected on the attached Employee Performance Review has been unsatisfactory. Therefore, we are considering removing you from employment."
- NOTE:** The initiation of the above process must begin with enough lead time prior to the end of the Probationary Period to ensure that there is time to extend the Probationary period if the charge of Unsatisfactory Performance is not supported.
- If the evidence at the PDC supports the charge of Unsatisfactory Performance and warrants removal from employment, notify your HR representative. Your HR representative will prepare the official notification letter to the employee.
 - If the evidence at the PDC does not support the charge of Unsatisfactory Performance, the overall rating of the EPR must be changed to reflect the appropriate performance rating for the period.
 - If the employee received an Interim EPR, then they will continue on Civil Service probationary status.

- If the employee received a Probationary EPR, then the Civil Service probationary period must be extended. The HR representative must complete an EPAR to extend the probationary period. A copy of the letter to the employee must be attached to the EPAR.
- In either case, the employee must be placed on a work plan.
- If the employee is union-covered, then the union must concur to extend the union probationary period. (Please see the section entitled: **The process for extending the probationary period due to less than satisfactory performance for a union covered civil service employee is**)

NOTE: Please remember that the outcome of the PDC must not be decided until AFTER the PDC is concluded. The main purpose of the PDC is to give employees a fair chance to tell management anything they feel might be relevant to the final determination. Accordingly, supervisors and managers need to understand the requirement that they be open to carefully considering the employee's explanation as a possible legitimate extenuating factor that might partially or fully temporarily explain otherwise unacceptable conduct (e.g. illness/medication issues, family problems.)

In addition, two very common and closely related evidence problems are: lack of adequate documentation to substantiate deviations from standards, and/or insufficient examples of behavior that is undeniably closely related to the communicated standards. Both of these common evidence problems constitute an extremely serious deficiency in management's case that will result in an inability to defend an adverse action such as termination.

Bottom line: Don't discipline for an Unsatisfactory rating that you can't defend!

The process for returning an employee who is in a promotional probationary period to their former position due to unsatisfactory performance is:

- Ensure that the employee has received performance standards and document when this occurred.
- At the first sign of performance issues, the rater must contact their supervisor and Human Resources representative to alert them to the situation and seek guidance.
- The rater must ensure that the employee is given a progress review and document this. If the employee's performance is not satisfactory, this must be clearly stated to the employee. The rater must also provide counseling and assistance to help the employee improve their performance.
- Give the employee a reasonable amount of time to improve his/her performance. If the employee's performance does not improve and it appears that the employee will not achieve a satisfactory level of performance, the rater must complete an Employee Performance Review (EPR). If the employee is within 30 days of the end of their probationary period, then the EPR will be a Probationary EPR. If the employee has more than 30 days remaining in their probationary period, then the EPR will be an Interim EPR. The EPR must clearly document:
 - When the employee received performance standards
 - When the employee was notified that his/her performance was not satisfactory
 - What specific behaviors indicate that the employee's performance is not satisfactory
 - What specific assistance was provided to the employee to assist them to perform at a satisfactory level
 - Include the following statement in the Overall comments section: Your performance to date as a (classification) has been unsatisfactory and does not merit continuation in this class.
- Schedule a meeting with the employee and present the EPR.
- Schedule a pre-disciplinary conference (PDC) with the employee. The charge will be "Unsatisfactory Performance; specifically, your overall performance during your promotional probationary period from _____ to _____, as reflected on the attached Employee Performance Review has been unsatisfactory. Therefore, we are considering returning you to your former position."

NOTE: The initiation of the above process must begin with enough lead time to ensure that the return date is established prior to the end of the Probationary Period.

- If the evidence at the PDC supports the charge of Unsatisfactory Performance and warrants return to the former class, notify your HR representative. Your HR representative will ensure that the former employer is contacted to inform them of the action taken and establish a return date. Once this is accomplished, HR will prepare the official notification letter to the employee.
- If the evidence at the PDC does not support the charge of Unsatisfactory Performance, the overall rating of the EPR must be changed to reflect the appropriate performance rating for the period.
 - If the employee received an Interim EPR, then they will continue on Civil Service Probationary status.

- If the employee received a Probationary EPR, then the Civil Service probationary period must be extended. The HR representative must complete an EPAR to extend the probationary period. A copy of the letter to the employee must be attached to the EPAR.
- In either case, the employee must be placed on a work plan.
- If the employee is union-covered, then the union must concur to extend the union probationary period. (Please see the section entitled: **The process for extending the probationary period due to less than satisfactory performance for a union covered civil service employee is**)

NOTE: Please remember that the outcome of the PDC must not be decided until AFTER the PDC is concluded. The main purpose of the PDC is to give employees a fair chance to tell management anything they feel might be relevant to the final determination. Accordingly, supervisors and managers need to understand the requirement that they be open to carefully considering the employee's explanation as a possible legitimate extenuating factor that might partially or fully temporarily explain otherwise unacceptable conduct (e.g. illness/medication issues, family problems.)

In addition, two very common and closely related evidence problems are: lack of adequate documentation to substantiate deviations from standards, and/or insufficient examples of behavior that is undeniably closely related to the communicated standards. Both of these common evidence problems constitute an extremely serious deficiency in management's case that will result in an inability to defend an adverse action such as demotion.

Bottom line: Don't discipline for an Unsatisfactory rating that you can't defend!

The process for extending the probationary period due to less than satisfactory performance for a union covered civil service employee is:

- Ensure that the employee has received performance standards and document when this occurred.
- At the first sign of performance issues, the rater must contact their supervisor and Human Resources representative to alert them to the situation and seek guidance.
- The rater must ensure that the employee is given a progress review and document this. If the employee's performance is not satisfactory, this must be clearly stated to the employee. The rater must also provide counseling and assistance to help the employee improve their performance.
- At the end of the fifth month of the probationary period, the rater must begin to prepare the Probationary EPR. The Probationary EPR must clearly document:
 - When the employee received performance standards
 - When the employee was notified that his/her performance was not satisfactory
 - What specific behaviors indicate that the employee's performance is not satisfactory
 - What specific assistance was provided to the employee to assist them to perform at a satisfactory level
 - Include the following statement in the Overall comments section: Your performance to date as a (classification) has not been satisfactory. Therefore, your probationary period is being extended until (date) and your progress will be reviewed again by that date. The probationary period should be extended for a period of 90 days.
- To extend the probationary period, at least one of the job factors on the EPR must be rated as Needs Improvement or Unsatisfactory and the Overall Rating should be Needs Improvement or Unsatisfactory.

NOTE: For a union covered employees, if the Overall Rating on the EPR is Needs Improvement it is highly probable that union will not agree to extend the probationary period. If such occurs the employee will achieve just cause rights per their respective collective bargaining agreement or memorandum of understanding. Therefore, an Overall Rating of Unsatisfactory is recommended and will result in removal if the union does not agree to an extension.

- The rater must contact their Human Resources representative to contact the union for concurrence to extend the union probationary period.
- If the union concurs with the extension, schedule a meeting with the employee and present the EPR. The Probationary EPR must be signed by the employee (or rater implements refusal to sign procedure) prior to the final day of the probationary period.
- If the union does not concur with the extension, management has the following options:
 - **Extend civil service probationary period:** This means the employee will have union status so any adverse action taken during the extended probationary period must meet the just cause requirements. However, the same obligation for them to meet performance standards at a satisfactory level still applies. Therefore, the same procedures to grant or deny civil service status also apply.

Terminate: Follow the process for removing an employee from employment who is in a probationary period due to unsatisfactory performance.

- **Demote:** Follow the process for returning an employee who is in a promotional probationary period to their former position due to unsatisfactory performance.

- Schedule a meeting with the employee and present the EPR. The Probationary EPR must be signed by the employee (or rater implements refusal to sign procedure) prior to the final day of the probationary period.
- Ensure that the employee understands that the extended probationary period does not equate to a grace period. In other words, if the employee's performance deteriorates or if they violate rules/policy, they are subject to discipline up to and including termination at any time.
- Collaborate with the employee to develop a work plan that addresses the deficiencies in their performance. Implement the work plan and complete an Interim EPR by the end of the extension.

The process for extending the probationary period due to less than satisfactory performance for a non-union civil service employee is:

- Ensure that the employee has received performance standards and document when this occurred.
- At the first sign of performance issues, the rater must contact their supervisor and Human Resources representative to alert them to the situation and seek guidance.
- The rater must ensure that the employee is given a progress review and document this. If the employee's performance is not satisfactory, this must be clearly stated to the employee. The rater must also provide counseling and assistance to help the employee improve their performance.
- At the end of the fifth month of the probationary period, the rater must begin to prepare the Probationary EPR. The Probationary EPR must clearly document:
 - When the employee received performance standards
 - When the employee was notified that his/her performance was not satisfactory
 - What specific behaviors indicate that the employee's performance is not satisfactory
 - What specific assistance was provided to the employee to assist them to perform at a satisfactory level
 - Include the following statement in the Overall comments section: Your performance to date as a (classification) has not been satisfactory. Therefore, your probationary period is being extended until (date) and your progress will be reviewed again by that date. The probationary period should be extended for a period of 90 days.

Note: The probationary period can be extended up to six (6) months at a time but may not exceed eighteen (18) months.

- To extend the probationary period, at least one of the job factors on the EPR must be rated as Needs Improvement or Unsatisfactory and the Overall Rating should be Needs Improvement.

NOTE: If the Overall Rating on the EPR is Unsatisfactory, then in most cases the probationary period should not be extended. Instead, the employee should be removed or demoted.

- Schedule a meeting with the employee and present the EPR. The Probationary EPR must be signed by the employee (or rater implements refusal to sign procedure) prior to the final day of the probationary period.
- Collaborate with the employee to develop a work plan that addresses the deficiencies in their performance. Implement the work plan and complete an Interim EPR by the end of the extension.

SECTION 4:

Work Plans

Work Plan Guidance

What are my responsibilities as a supervisor when I put an employee on a work plan?

Clearly explain the work plan during a supervisory conference. Use good questioning techniques to test for understanding of their responsibilities and your expectations. Ensure you provide notice to the employee that they will be held accountable for the work plan and failure to perform at a satisfactory level will be reflected on their Employee Performance Review and if deemed unsatisfactory could lead to discipline up to and including termination.

Develop the work plan after giving the employee the opportunity for input as to what they believe will help them succeed (this demonstrates that consideration was given to whether other factors are involved besides just performance...and may reveal other concerns such as SEAP issues).

Provide training for any areas where the employee is not demonstrating the necessary knowledge or skills required to perform at a satisfactory level.

Provide coaching and assistance for areas where the employee is struggling.

Does the employee have to agree with the work plan?

No, the employee does not have to like or agree with the work plan. However, you must be able to show that the objectives and goals within the work plan are reasonable, achievable, and based on some rational principal (such as job standards, historical data, or what other satisfactory employees are able to do).

How often do I need to meet with the employee to discuss their progress?

You should meet formally at least weekly to provide the employee with feedback on their progress (or lack thereof). You should also 'check-in' with the employee daily to see if they need guidance or assistance.

Am I required to micro-manage the employee while they are on a work plan?

You might need to micro-manage the employee for the first few days of the plan to ensure they understand their responsibilities and your expectations. However, after that, you do not need to continue to micro-manage the employee on a daily basis. The purpose of the work plan is to help the employee attain satisfactory performance. If you micro-manage the employee throughout the entire time span of the work plan, they will not have the opportunity to demonstrate their own performance.

What are an employee's union representation rights in this process?

Discussion of a work plan is considered to be a work assignment. As long as it is confined to the communication and explanation of expectations, there is no right to union representation. If, however, the discussion includes questioning the employee about why he has not, to date, met expectations or behaved in a certain way, the tenor of the meeting is changed to an investigatory one, triggering the right to union representation upon request.

Work Plan & Supervisory Conference Checklist

<u>CRITERIA</u>	Yes/No
1. Does the Work Plan address all of the specific behaviors that need to change in order to achieve at least Satisfactory performance overall?	
2. Have you developed and communicated clear and measurable standards, objectives, or goals that define satisfactory performance?	
3. For employees with union and/or civil service status - are the standards, objectives, or goals that define satisfactory performance clearly listed on the work plan?	
4. For employees with union and/or civil service status – have you clearly identified which EPR Job Factors the employee’s deficiencies are related to?	
5. Have you discussed/documentated the employee’s responsibility for notifying the supervisor if potential performance problems arise, such as an inability to meet a deadline?	
6. Have you clearly stated to the employee during their supervisory conference that their overall performance is currently satisfactory or not satisfactory?	
7. Have you identified/documentated specific techniques and/or opportunities for the employee’s developmental needs?	
8. Have you made it clear to the employee that s/he is responsible for completing the work plan even if s/he didn’t sign it?	
9. Have you addressed and documented all performance issues with the employee that s/he is going to be held accountable to?	
10. Is the employee being given sufficient time to improve their performance?	
11. Have you given due consideration to legitimate extenuating and mitigating circumstances when assessing the employee’s performance?	
12. Is the employee going to be able to convince a neutral third party that s/he didn’t know or understand what was expected of her/him?	

Sample Work Plan for employees on probationary status

WORK PLAN

DATE:

TO: Employee

FROM: Supervisor

SUBJECT: Work Plan for (Time Frame)

This is to confirm our conversation on _____. At that time you were informed your work performance had not improved and you would receive an interim evaluation and a work plan. As a result of that discussion, and following input from you, the following work plan is being established.

1. Caseload/Workload: You will receive no new cases during June. This will give you an opportunity to catch up. At the beginning of July your caseload/workload will be increased to the average carried by other caseworkers.

2. Conference: Your pre-scheduled conference time has been changed. You will be given one scheduled individual conference each week. During these conferences, we will discuss any problems you may have, as well as your progress. However, I am available at other times for more immediate issues/problems you encounter.

3. Desk Management: You will be expected to get and keep your desk organized. I will be checking your desk management and organization periodically and give suggestions when needed.

4. Training: You will be given training in the following areas: (insert topics) Additional training in any area will be available to you upon request. Training will also be given if I discover any particular area in which you seem to be having problems.

5. Review of Work: You will continue to route all actions to me prior to processing.

6. Review of Progress: At the end of each month we will review your progress. You will be informed either verbally or in writing as to your progress in various performance areas.

I sincerely hope the work plan, and more importantly, additional effort on your part, will improve your work performance. If however, there is no sustained improvement to minimally acceptable standards by _____ discipline will be pursued as appropriate.

Supervisor Signature

Date

Employee Signature

Date

Sample Work Plan for employees with union and/or civil service status

Work Plan for *(Employee Name)*

We will meet regularly during this interim evaluation period to review and discuss and your progress. [*Specify time and place details for regular meetings.*] Please be assured that I am ready and willing to do whatever I reasonably can do to help you succeed. If you have any questions about this corrective action plan at any time, please do not hesitate to contact me.

During this evaluation period you will receive the following assistance to help you improve your performance: (*list specific tools, strategies that mgmt will provide such as classroom training, online training, mentoring, desk manuals, etc.*)

The specific standards provided in this corrective action plan must be met in order for you to obtain satisfactory ratings in the specific job factor categories identified below. A satisfactory rating in all of the individual job factor categories where you have been rated unsatisfactory is necessary for you to achieve a satisfactory overall rating when your next interim performance evaluation is conducted. In addition, in order to be rated satisfactory overall you must continue to meet any other applicable performance standards previously conveyed to you.

Your interim reviews are currently scheduled to occur about every 60 days. If your interim evaluations are unsatisfactory overall, progressive disciplinary action (up to and including removal), may be imposed with the issuance of each successive unsatisfactory evaluation.

Minimum Standards of Performance Necessary to Obtain a Satisfactory Evaluation upon the Conclusion of the Interim Evaluation Period:

WORK RESULTS & WORK HABITS:

1. No more than 3 incidents indicating that an established deadline has been missed for any report, project, or assignment due during this evaluation interim period.
2. At least 2 cases per month from your backlog must be completed in each of the next two months during this evaluation period.
3. An acceptable action plan for monitoring and maintaining the productivity of the staff you supervise must be developed and implemented prior to the end of this rating period. The plan must include reasonable productivity standards for all of the employees and a description of how staff will be held accountable for meeting the established standards.
4. An acceptable action plan for resolving ongoing interpersonal conflicts between staff in your office must be developed and implemented prior to the end of this rating period.

COMMUNICATIONS:

1. No more than 3 incidents during the rating period where you have failed to effectively inform your supervisory staff in a timely manner of a significant change in policy, or of other significant information related to the efficient and orderly operation of your office.
2. No more than 2 incidents during the rating period where you have failed to inform me in a timely manner of a significant complaint that has come to your attention.
3. No more than 4 incidents during the rating period where your monthly or weekly reports are incomplete, inaccurate or are submitted late.
4. No more than 3 incidents during the rating period where you fail to inform me in a timely manner of new developments in sensitive employee related cases in your office, or of other important issues affecting your office, such as the ongoing third floor renovations.
5. An acceptable staff training needs assessment must be developed and submitted during this rating period.

INITIATIVE AND PROBLEM SOLVING:

1. No more than 2 incidents during this rating period where you fail to take appropriate action, without being prompted, to resolve a routine problem within your sphere of control.

INTERPERSONAL RELATIONS:

1. No more than 3 instances during this rating period where your conduct in communicating with a co-worker is rude, argumentative or otherwise detrimental to the efforts of the staff member to communicate with you.
2. No instances of disparate treatment of similarly situated staff members during the rating period.

SUPERVISION/MANAGEMENT:

1. No more than 3 incidents during the rating period where problems occur due to your failure to establish clear priorities for your subordinates.
2. No more than 3 incidents during the rating period where problems occur due to your failure to delegate to staff effectively.

 Supervisor Signature

Date

 Employee Signature

Date

SECTION 5: Supervisory Conferences

Supervisory Conferences

All raters should meet with each of their direct reports individually at least monthly. For raters who supervise less than 10 employees, these meetings should occur bi-weekly.

In addition to other purposes such as giving assignments and building professional relationships, supervisors must cover the following during these meetings:

- **Employee strengths - what the employee is doing well**
- **Employee areas for improvement – what the employee isn't doing well**
- **Supervisory assistance – specific strategies and/or tools to help the employee's performance improve (if needed)**

All supervisory conferences must be documented. A sample supervisory conference document is located on the following page. NOTE: the sample is exactly that – it is only a sample. Program offices/areas may use whatever type of documentation works best for them. However, raters who supervise employees doing the same or similar work should use the same format to avoid the appearance of disparate treatment.

If you have any questions about supervisory conferences or how to document them please contact your HR representative.

Sample Supervisory Conference Documentation

Employee's Name:

Date Conference Held:

Time: _____ to _____

A. What tasks or projects have you been working on?

B. What have you accomplished?

C. What professional relationships did you build or maintain?

D. What did you do that demonstrated commendable or outstanding performance?

E. What self-development activities did you participate in?

Content:

EXPECTATIONS by next supervisory conference date of _____

What are your objectives and goals?

What self-development activities are you planning for the next month?

Employee's signature Date

Supervisor's signature Date

Supervisory Counseling Sessions (with management employees)

KEY POINTS:

- ❖ Supervisors are responsible for addressing inappropriate or unprofessional actions that create an unproductive work environment.
- ❖ The purpose of a counseling session is to help the employee identify problematic behavior, identify its cause(s) and talk about potential solutions. If the employee's performance or behavior warrants the consideration of discipline, then contact your supervisor and your Human Resources Representative for guidance.
- ❖ DO NOT ignore a behavioral or performance issue with an employee because you are unsure of how to address it. Instead, contact your supervisor and your Human Resources representative for guidance.
- ❖ Counseling sessions are not disciplinary actions.

To correct employee behavior or performance:

- Meet with the employee in private.
- The purpose of this discussion is to help the employee improve their performance. While this is often uncomfortable for the supervisor, it is a necessary role that most supervisors must engage in for the good of the employee and the organization's mission.
- At the beginning of the meeting, do not praise the employee or go out-of-your-way to find something positive to say about the employee or their performance. While this might seem like a nice way to set a positive tone, it often causes the employee to minimize the seriousness of the situation.
- First, explain the purpose of the discussion to the employee. Focus on the employee's performance, not on the employee themselves or your perception of their attitude/motivation. For example, "We're here to talk about your failure to meet an established deadline" NOT "we're here to talk about why you don't like to do your job."
OR
"We're here to talk about the inappropriate language you used with a client" NOT "we're here to talk about why you hate our clients."
- Allow the employee to vent their emotions as needed, within reason. Use active listening and empathy skills. Remain neutral and non-judgmental – neither agree nor disagree with the employee at this stage. Do not interrupt the employee unless their language or behavior becomes inappropriate. If the employee becomes very emotional, take a break to allow the employee to de-escalate. If the employee's behavior becomes inappropriate, end the meeting and consult with your local HR representative. If the meeting must be ended due to the employee's inappropriate behavior, do not let this become a "stalling" technique used by the employee to avoid meeting with you. Additionally, depending on the nature of the behavior displayed, the employee may be subject to disciplinary action. Consult with your HR representative for guidance.

- Ask the employee for their perception of the events that have lead to the current situation. Use active listening and empathy skills. Remain neutral and non-judgmental – neither agree nor disagree with the employee at this stage. Do not interrupt the employee.
- Once the employee has finished speaking, begin asking open-ended questions to help them assess the situation. Your goal is to help them find insight into the situation by seeking to understand the central issue or root cause of the situation. While you are engaged in this discussion, it is appropriate for you to share your perceptions of the situation (or the possible perceptions of others). This will help the employee see that their view isn't necessarily the only one or the correct one.
- After determining the central issue or root cause, it is critical that you clearly define what work area(s) needs to be improved. Focus on the performance problems that need improvement, not the person.
- Discuss potential solutions to the problem or improvement actions to take. Ask the employee for ideas on how to correct the problem, or prevent it from happening again.
- Determine whether issues exist that limit the employee's ability to perform the task or accomplish the objective. Potential barriers include time management issues or lack of training, tools, or resources. The employee's attitude or temperament toward a task(s) or person(s) might also be a barrier. Determine how to remove or minimize these barriers.
- Discuss the components of a work plan that lists what the employee and the supervisor will do to correct the problem or improve the situation.
NOTE: While it is preferable that the employee agree with their work plan, it is not required.
- Offer SEAP information if warranted based on the discussion.
- Conclude the meeting.
- Document the date and time of the discussion and what was discussed with the employee. Utilize whatever type of document is used at your office/facility. Make note of any follow up that is to occur by either the supervisor or the employee. Keep the document and any additional file notes in the unofficial supervisory file only.
- Contact your local HR representative for assistance on how to write and implement a work plan if needed.

Supervisory Counseling Sessions (with union-covered employees)

NOTES:

- ❖ Counseling sessions are not disciplinary actions. The purpose of counseling is to provide notice to an employee that a specific behavior (conduct or performance) needs to be improved. Counseling also provides notice that if the behavior does not improve the likely result will be some form of disciplinary action. Accordingly, evidence that a counseling session has occurred for prior similar or same conduct is sometimes required before disciplinary action can be considered.
- ❖ Supervisors are responsible for addressing inappropriate or unprofessional actions that create a hostile or unproductive work environment. These unwelcome verbal, non-verbal and/or physical behaviors include, but are not limited to: discrimination, harassment, threats, bullying, and offensive language, time and attendance infractions, improper leave usage or any other violation of Office, DPW or Commonwealth policies.

To correct employee behavior or performance:

- Meet with the employee in private.
 - * Since it is a non-disciplinary meeting, which should be disclosed to the employee, there is no right to representation. However, if the employee has a reasonable fear that the meeting could result in discipline, they may, at their request, have a union representative present.
 - * The supervisor may have another management representative present if they choose. This is usually not recommended unless it is believed the employee could become aggressive or out of control during the meeting. This additional management representative should not be the employee's reviewing officer.
- First, explain that there is an issue with the employee's behavior/performance/leave use that you need to address with them. Advise that this meeting is not disciplinary in nature, but rather a meeting to bring the employee's attention to the issue.
- Explain the issue that you need to address with the employee. Share any documentation that may be relevant to the scenario that warranted the counseling. This can be used to show/remind the employee what trainings they have had and/or what expectations are standard in the workplace. For example, if an employee is being counseled on e-mail/internet abuse, it would be helpful to review the E-mail/IT User Agreement that all employees are required to sign. If it is a time and attendance issue, a calendar showing a pattern of call-offs would be useful.
- Provide potential solutions to the problem or improvement actions to take. Remind the employee that you expect them to correct the problem/conduct so that it does not occur again. Advise the employee that if the problem/conduct continues, they will be held accountable for their actions, to include possible disciplinary action.
- If a work plan is warranted, the components of a work plan must list what the employee and the supervisor will do to correct the problem or improve the situation.
NOTE: While it is preferable that the employee agree with their work plan, it is not required.

- Offer SEAP information.
- Conclude the meeting.
- Document the date and time of the discussion and what was discussed with the employee. Utilize whatever type of document is used at your office/facility. Make note of any follow up that is to occur by either the supervisor or the employee. Keep the document and any additional file notes in the unofficial supervisory file only.
- Contact your local HR representative for assistance on how to write and implement a work plan, if needed.

How long should managers and supervisors keep documents such as file notes and supervisory conference forms in their unofficial files?

- Documentation supporting pending or existing discipline must be kept.
- Documentation regarding a lawsuit that has been filed must be kept.
- Documentation supporting discipline that is removed must be purged.
- Documentation for suspensions on file must be kept, unless the suspension has been grieved out.
- If an employee retires or resigns, supervisors may purge their unofficial files if none of the above bullets require them to keep supporting documentation.
- Documentation that is used to support EPRs must be kept for five years. It must then be purged after the fifth year when the EPR is removed from the Official Personnel file.

SECTION 6: Appeals

Employee Performance Review (EPR) Appeal Process

Administrative Appeal:

Employee may discuss the rating with their Reviewing Officer (RO).

- Meeting to be held within 2 weeks or as soon as possible.
- Right to union representation upon request, regardless of rating or who requests meeting.

If RO determines merit, he/she discusses the rating with the rater.

- If RO and rater agree, changes are made to the rating.
- If RO and rater disagree, the "appeal" should be raised to the next level of authority, whose decision is final.

If RO determines appeal has no merit, the rating is final.

Statutory Appeal:

Civil Service covered employees may appeal alleged discrimination to the State Civil Service Commission.

Contractual Appeal:

Union covered employees may grieve via their collective bargaining agreement.

- NOTE: Contract covered employees may appeal either through the Civil Service Commission or through the contract grievance procedure. They cannot utilize both the statutory and contractual appeal mechanisms.

SECTION 7: Performance Standards

Performance Standards

At the start of the rating period and as work assignments dictate, all raters must develop and provide employees with written performance standards. These standards must be consistent with agency policy, strategic plans, objectives, and priorities. Raters must also convey any weighting of the standards as they apply to the work to be performed at the beginning of the rating cycle or as new standards are developed.

Performance standards are written, measurable criteria against which individual effort is evaluated to determine the level of the employee's performance. They define how good is 'good enough.'

Before developing or revising standards, raters must contact their reviewing officer and their Human Resources representative.

Key Points:

- Employees in the same classification doing the same or similar work must have the same performance standards.
- Employee feedback should be solicited when performance standards are developed or revised.
- If the classification involved is covered by a bargaining unit, you must discuss new or revised standards with the union for their feedback. You may not go directly to the employees. If you use a workgroup to help develop the standards, the union will select the employees representing their bargaining unit. While you do not need their approval, you should seriously consider any objections/changes they raise. If they insist something isn't realistic or reasonable or if you have any questions about this process please contact your local Labor Relations coordinator.

The following pages contain several examples of styles of performance standards. The most important thing to remember is that the standards must be measurable and clearly communicate performance expectations between the rater and the employee.

Performance Standards

John Doe, HRA 3

Job Knowledge

- Facilitate courses as required, receiving overall ratings of a three on a scale of one to five in course objectives, application, and facilitation at least 90% of the time during the rating period.
- Provides course information regarding materials and scheduling to CT3 in a timely manner. All necessary information must be submitted to the CT3 by COB of the 20th of January, April, July, and October. No more than one minor omission per month and no more than two major omissions per year. A major omission is one that would significantly inhibit the CT3's ability to perform his/her assigned duties.
- Shares information and knowledge to assist others to accomplish work assignments. Employee will receive updates at supervisory conferences. Level of performance in this area will be addressed then.
- Engages in proactive efforts to ensure that customers/stakeholders needs are anticipated and addressed. Employee will receive updates at supervisory conferences. Level of performance in this area will be addressed then.
- Participates in at least one work related training session per quarter.

Work Results

- Work activities are completed within assigned time schedules. No more than four confirmed illegitimate late assignments in an annual rating period will be considered satisfactory performance, unless aggravating circumstances (such as a significant negative impact on our customers/stakeholders) are present. In those cases, one offense could result in an overall rating of unsatisfactory.
- With few exceptions, provides accurate and timely information/advice in a manner that meets the customer needs. No more than four confirmed legitimate complaints in an annual rating period will be considered satisfactory performance, unless aggravating circumstances (such as a significant negative impact on our customers/stakeholders) are present. In those cases, one offense could result in an overall rating of unsatisfactory.
- Inquiries on email or voice mail are responded to within one working day. Questions are researched and answered promptly. Requestor must be informed and updated regularly regarding any delays beyond expected or reasonable time frames. No more than four confirmed legitimate complaints in an annual rating period will be considered satisfactory performance, unless aggravating circumstances (such as a significant negative impact on our customers/stakeholders) are present. In those cases, one offense could result in an overall rating of unsatisfactory.

Communications

- Demonstrates professional and courteous communication skills during interactions with customers, stakeholders, and co-workers when communicating in person, by telephone and by email. Manner of communication is tactful and sensitive to recipient. No more than four confirmed legitimate complaints in an annual rating period will be considered satisfactory performance, unless aggravating circumstances (such as workplace violence) are present. In those cases, one offense could result in an overall rating of unsatisfactory.
- Does not jump to conclusions or try to interpret others' thoughts or feelings while communicating. Instead, asks direct questions to learn others' true intent and then accepts

their clarification and moves on. No more than four confirmed occurrences in an annual rating period will be considered satisfactory performance.

- Supervisor, designate, or division chief is briefed immediately about sensitive matters and is provided with regular updates. The time frames for the updates will be determined for each situation.
- Ensures written and verbal communications are well conceived, logically sequenced, grammatically correct, and convey a philosophy of customer service to promote maximum acceptance and understanding by the receiver. No more than four confirmed legitimate complaints in an annual rating period will be considered satisfactory performance.
- Provides regular feedback to supervisor regarding assignments, accomplishments, problems encountered, inability to meet established guidelines, and assistance required. The time frames for the feedback will be determined for each situation. Supervisor, designate, or division chief is notified immediately about problems, inability to meet guidelines, or if assistance is needed. Performance will be rated as satisfactory if there are no more than three confirmed occurrences of failing to provide feedback or notification in an annual rating period.

Initiative/Problem Solving

For the standards below, consistently addressing existing situations will be considered as satisfactory performance. Preventing some situations from occurring and suggesting useable innovations will be considered commendable. Developing innovative ways to maximize resources to improve customer service and solving complex problems will be considered outstanding.

- Recognizes and takes the initiative to identify and resolve situations before they become problems.
- Performs necessary day-to-day tasks without specific direction, where appropriate, and within established limits of responsibility.
- Identifies problems or potential problems or areas of potential improvement and makes suggestions for solutions or improvement.
- Demonstrates ability to determine what needs to be done according to established priorities and pursues appropriate means of accomplishing tasks.
- Adapts to changing work requirements to complete assignments without creating additional situations or problems.
- Offers suggestions for improving customer service.
- Volunteers to help customers, stakeholders, and co-workers resolve situations and problems.
- Recognizes when to seek and seeks assistance to resolve situations or problems, and then follows through with solution.
- Makes decisions based on facts, reasoning, and logic.

Interpersonal Relations/EEO

For the job standards below, no more than four confirmed legitimate complaints in an annual rating period will be considered satisfactory performance, unless aggravating circumstances (such as workplace violence) are present. In those cases, one offense could result in an overall rating of unsatisfactory.

- Does not mistreat or display a demeaning attitude or behavior (including inappropriate ethnic, racial, religious, sexual, or gender jokes and/or written material) in the work place toward customers, stakeholders, or co-workers.

- Interacts effectively with customers, stakeholders, and co-workers to accomplish assignments and deliver services in a fair and equitable manner.
- Shows respect for the opinions of others, constructively discussing areas of disagreement.
- Assists other staff as needed without complaining.
- Promotes harmony among co-workers, keeping personal problems from affecting the performance of work.
- Demonstrates an understanding of the need for cooperative effort to achieve results.

Work Habits

For the job standards below, no more than four confirmed legitimate complaints in an annual rating period will be considered satisfactory performance, unless aggravating circumstances (such as workplace violence) are present. In those cases, one offense could result in an overall rating of unsatisfactory.

- Exhibits courtesy and pleasant demeanor toward customers without expressing displeasure and dissatisfaction.
- Adheres to all Commonwealth, agency, and section policies and guidelines.
- Behaves in an ethical manner and adheres to the Governor's Code of Conduct without exception.
- Adheres to safety rules and regulations and applies necessary safety precautions and/or practices in the performance of assigned duties and reports recognized existing or potential safety hazards to the immediate supervisor within prescribed agency standards.
- Reports personal work-related injury/accident to the immediate supervisor according to prescribed agency procedures and timeframes.
- Notifies supervisor in advance of issues or potential problems or planned absences that may delay project/assignment completion.
- Organizes key activity tasks to minimize paperwork, reduce follow-up calls, and eliminates redundancy in the handling of like activities wherever possible.
- Outlook calendar is kept up to date and includes all absences. All leave requests are submitted prior to the end of the pay period or on the first day returning from unanticipated leave.
- Division resources are used efficiently and effectively.

I have received and read my job standards and have been given an opportunity to ask any questions with my supervisor. I fully understand these standards and I agree to uphold them as part of my responsibilities. I also understand that failure to uphold these standards can result in disciplinary action up to and including dismissal.

Employee's signature Date

Supervisor's signature Date

PERFORMANCE STANDARDS

STAFF PHYSICIAN II

Performance Factors:	Performance Standards:
	Performance is satisfactory when:
1) <u>Job Knowledge/Skills</u>	Maintain current and complete master problem list and the medications used to treat these problems on the 90-day note. Does timely, complete, yearly physical exam and 28-day psychotropic medication reviews and documents appropriately. Independently does diagnostic evaluation (physical assessment laboratory and x-ray evaluations, and specialty consultations) and medical treatment planning to demonstrate an understanding of current medical knowledge and treatment standards for the disease process being treated. Always maintains current professional DEA registration and licensure/certification, annual CME requirement and provides copies of these to HS.
2) <u>Work Results</u>	Writes neatly and legibly. Uses SOAP format for progress notes. Caseload assignments are completed within assigned time frames. Work demonstrates and conforms to current medical standard of practice being applied to patient care.
3) <u>Communications</u>	Communicates with family as required/requested, per Selinsgrove Center policy. Provides written or verbal communication with all members of the ID team, other Center staff, hospital staff, and individual's family concerning medical issues which may affect ID team treatment programs and the individual. Participates willingly and constructively with team and committee assignments.
4) <u>Initiative/Problem Solving</u>	Independently writes medical progress notes, consults, and orders which are accurate, timely, and complete and demonstrate a knowledge and understanding of the patient's current problems and status.
5) <u>Interpersonal Relations/Equal Employment Opportunity</u>	Always demonstrates professional conduct and maintains good working relationships with supervisors, and all other center staff and co-workers, and also the public. Never displays bias with regard to race, sex national origin or handicap.
6) <u>Work Habits</u>	Independently practices medicine at all times according to the current standards of care. Independently performs annual

physical exams, DISCO assessments, writes all medical orders, and physicians progress notes. These are to be completed 100% of the time in accordance with ICF/MR, AC and facility standards (as outlined in ICF/MR and AC manuals and Selinsgrove Center manual). Conducts timely daily rounds. Assures coverage for unit is available when using annual or compensatory leave. Notifies Clinical Director's office at start of shift when not available for work due to illness. Performs all other duties and requirements as requested by Selinsgrove Center administration and the supervising physician. Follows all Selinsgrove Center, DPW, and state policies and procedures and laws.

Consistent adherence to your job standards will result in a satisfactory performance. Frequently exceeding standards and suggesting useable innovations will be considered commendable. Consistently exceeding standards by developing innovative ways to maximize resources, improve customer service and solving complex problems will be considered outstanding.

Unless otherwise indicated above, no more than two confirmed legitimate sub-standard occurrences in a job factor in a calendar quarter and no more than four in an annual rating period will be considered satisfactory performance. However, there may be instances where one offense is so egregious that it may result in an overall rating of unsatisfactory.

I have received and read my job standards and have been given an opportunity to ask any questions with my supervisor. I fully understand these standards and I agree to uphold them as part of my responsibilities. I also understand that failure to uphold these standards can result in disciplinary action up to and including termination.

Employee's signature Date

Supervisor's signature Date

MEDICAL FACILITY AND RECORDS SUPERVISOR - CORE STANDARDS

Introductory Statement

Consistent adherence to your job standards will result in satisfactory performance. In order to achieve a commendable or outstanding rating, you will need to demonstrate positive results that exceed your job standards.

Unless otherwise noted, no more than two exceptions in an annual rating can be considered satisfactory performance. However, there may be instances where one offense is so egregious that it may result in an overall rating of unsatisfactory.

Job Knowledge/Skills

- The work products of your unit demonstrate a thorough understanding of applicable Medical Assistance regulations and requirements.
- You have an understanding of the operational rules and regulations governing the health care delivery system that you are working in (fee for service or managed care).
- You understand and effectively use and require staff to use technology/equipment to accomplish assignments.
- You share knowledge and instruct subordinates in the performance of their duties and responsibilities, and encourage employees to further develop their job knowledge and skills.
- You are aware of and can assess the potential impact of organizational and programmatic changes.

Work Results

- Reports are accurate, organized, informative, and timely.
- The work products produced by your unit generally conform to requested or established formats and are presented in terms of proper format and grammar.
- Correspondence from your unit that is forwarded to the Division Director and/or Bureau Director for review is prepared in a thoughtful and understandable manner that is responsive to the assigned task.

Communications

- All written and verbal communication with coworkers, customers, and stakeholders is complete, accurate, courteous, and professional.
- Directions to subordinates are clear and specific. There are no more than two justified occurrences per subordinate in a rating period where an assignment is untimely or incomplete due to lack of clarity or specificity in your communication.
- You are able to provide effective and accurate training for your staff as appropriate.
- Problems or concerns from your unit are escalated to your supervisor in a timely manner.
- Reports produced by your unit show evidence of complete research, valid conclusions, and logical concept flow.
- Communication is initiated with your supervisor at least weekly regarding status of routine assignments, priorities, and special assignments.
- Subordinates are notified in a timely manner of changes to policy and procedures that impact work flow.

Initiative/Problem Solving

- You execute your responsibilities with a proactive approach by: (a) requesting priority, status, and strategy meetings; and (b) identifying potential problems with possible solutions.
- You proactively identify sources of problems and conduct research to recommend or take action to resolve issues.
- You demonstrate the initiative to ensure the effective development and processing of section work.
- You encourage staff to continuously evaluate business practices and remain open to suggestions to improve and streamline operations.

Interpersonal Relations/Affirmative Action

- There are no justified complaints of discriminatory behavior during the rating period
- You consistently conduct yourself in a professional manner, and deal appropriately with emotions and conflict.
- You proactively identify ways to participate as a team player in achieving Departmental objectives.

Work Habits

- You demonstrate proper use of resources (time, personnel, supplies, and equipment) for yourself and staff.
- You adhere to established procedures for reporting off work in accordance with mandated time frames.
- You have no unexcused instances in which you fail to contact your immediate supervisor or designee to notify him/her of your absence.
- You provide proper documentation of sick leave with your leave request on the first day of work following the absence as required by established policy. If not produced on the date of return for a valid reason, a firm date when it will be produced must be established and follow-up action taken accordingly. (Reference DPW Manual Section 7173.3B.2.a.)
- You establish a record of prudent/sensible paid sick leave use that does not show evidence of any discernible pattern or documented instances of failure to comply with Section 7173, Controlling Absenteeism, Time and Sick Leave Abuse.
- You comply with work policies regarding attendance, punctuality, safety, security, and care of equipment.
- No more than one (1) incident occurs where you fail to immediately report an occurrence of work-related injury to your supervisor or next line of authority.
- No instances of non-compliance or disruptive behavior occur.
- No more than one (1) incident occurs where you fail to conduct an initial investigation and input the Workers' Compensation Claim Form through Supervisor Self Service within one work day of learning of a subordinate's injury.
- You adhere to the provisions of DPW Manual Section 7173, Controlling Absenteeism, Time and Sick Leave Abuse.
- You understand and adhere to all FMLA and SPF policies and procedures.

Supervision/Management

- You identify and address subordinates' concerns. There is no more than one (1) justified complaint per rating period that you fail to address.
- Constructive feedback, whether positive or negative, is given to subordinates in a timely manner.
- You demonstrate the ability to recognize and develop employees' strengths and match them to job assignments in order to maximize productivity.

- You demonstrate an ability to recognize individual characteristics and adjust your supervisory style accordingly.
- You demonstrate an ability to build effective and efficient teams.
- Timely and substantive performance reviews are prepared and conveyed to employees in accordance with established rules and regulations:
 - Job descriptions and essential functions are reviewed at the beginning of the rating period to ensure that the job duties are accurate.
 - Performance standards are established at the beginning of the rating period with input from the employee, supervisor, and reviewing officer.
 - Formal progress reviews are conducted at least semiannually for employees and as needed to resolve problems.
 - At a minimum, comments are included to support any factor rating Outstanding, Needs Improvement or Unsatisfactory, and training needs are identified under Training and Development Recommendations.
 - End of probation and annual EPRs are completed by due dates.
- Procedures are developed, in-service training given, and instruction manuals updated to ensure staff have all of the necessary tools and resources to conduct review activities and other projects assigned.

Sign-Off Language

I have received and read my job standards, and have been given an opportunity to discuss with my supervisor. I fully understand and agree to uphold them as part of my job responsibilities. I also understand that failure to uphold these standards can result in disciplinary action, up to and including dismissal.

Employee Signature

Date

Supervisor Signature

Date

DPW TSD - HR Analyst 3

Performance Standards Crosswalk

Roles & Standards		Job Factors						
		Knowledge	Work Results	Commun- -ication	Initia- -tive	Inter- -personal	Work Habits	Super- -vision
Management Consultant								
1.	Proactively identifies areas for performance improvement within the Department and acts to address those situations		X		X		X	
2.	Develops and maintains professional relationships with executives, managers, and supervisors (clients)		X	X		X	X	
3.	Accurately assesses the developmental needs of clients and their organizations	X	X	X	X		X	
4.	Helps clients identify and meet their needs, not necessarily their wants	X		X		X		
5.	Identifies, acquires, and implements strategies and resources to assist clients in meeting the developmental needs of their organization	X	X	X	X	X	X	
6.	Able to show measurable positive outcomes for the client's organization	X	X				X	
7.	Internalizes the belief and demonstrates behaviors that you are the least important person in this process	X	X			X		
8.	Uses active listening and repetitive analysis techniques, minimizes use of declarative statements	X	X	X		X	X	
Facilitator								
9.	Ensures course materials and structure meet adult learning principles (pre-course)	X	X	X	X	X	X	
10.	Engages in participant centered training techniques	X	X	X	X	X	X	
11.	Adjusts course objectives during training to ensure participants' needs are being addressed	X	X	X	X	X	X	
12.	Creates and maintains a learning environment where participants can self-discover	X	X	X	X	X	X	
13.	Creates and maintains learning environment where participants gain knowledge and skills from each other	X	X	X	X	X	X	
14.	Able to show measurable positive change in participants' behavior immediately after course completion		X	X	X			
15.	Able to show measurable positive change in participants' behavior six-months to one-year after course completion		X	X	X			
16.	Able to show measurable positive outcomes for the participant's organization six-months to one-year after course completion		X	X	X			
Course Developer								
17.	Ensures course learning strategies and materials are focused on the specific behavioral needs of the participants	X	X		X		X	
18.	Ensures learning strategies reflect state-of-the-art knowledge regarding human development and behavioral change	X	X		X		X	
19.	Ensures course materials are up-to-date and include best practices	X	X		X		X	
20.	Ensures course materials are professional and participant friendly	X	X		X		X	
21.	Ensures development and production of materials are completed prior to actual need date		X	X			X	
22.	Ensures issues regarding copyrights or trademarks are resolved before materials are produced and/or distributed	X	X	X	X	X	X	
23.	Ensures course strategies and materials required are fiscally responsible		X		X		X	
24.	Ensures development and implementation of methodologies to measure course Return on Investment (ROI)	X	X		X		X	
TSD Employee								
25.	Mission focused	X	X	X	X	X	X	
26.	Proactively notifies supervisor of any difficulties or need for assistance in meeting performance			X	X		X	

DPW TSD - HR Analyst 3 Performance Standards Crosswalk

Roles & Standards		Job Factors						
		Knowledge	Work Results	Commun- -ication	Initia- -tive	Inter- -personal	Work Habits	Super- -vision
	expectations							
27.	Represents supervisor or division chief in meetings ensuring that appropriate follow-up action is taken	X	X	X	X	X	X	
28.	Treats all stakeholders and customers with respect			X		X	X	
29.	Challenges the division status-quo as needed using appropriate influence strategies and offering suggestions for improvement	X		X	X	X	X	
30.	Proactively informs supervisor or division chief of all potentially sensitive situations	X		X	X	X	X	
31.	Volunteers to help individuals and/or the organization				X	X	X	
32.	Outlook calendar is kept up-to-date on a daily basis		X				X	
33.	Checks emails and phone messages daily - provides follow-up actions needed		X	X			X	
34.	Adheres to division leave, time and attendance expectations		X				X	
35.	Reports personal work-related injuries/accidents to supervisor or division chief according to prescribed agency procedures and timeframes		X				X	
Supervisor								
36.	Ensures employees receive training, guidance, and resources necessary for success	X	X	X	X	X	X	X
37.	Delegates appropriate amount of responsibility and accountability to employees	X	X	X	X	X	X	X
38.	Monitors and accurately rates employees' performance	X	X	X	X	X	X	X
39.	Encourages employees to challenge the division status-quo as needed using appropriate influence strategies and offering suggestions for improvement	X	X	X	X	X	X	X
40.	Ensures employees comply with policies and procedures	X	X	X	X	X	X	X

Consistent adherence to your job standards will result in a satisfactory performance. Frequently exceeding standards and suggesting useable innovations will be considered commendable. Consistently exceeding standards by developing innovative ways to maximize resources, improve customer service and solving complex problems will be considered outstanding.



No more than four confirmed legitimate sub-standard occurrences in a job factor in an annual rating period will be considered satisfactory performance. However, there may be instances where one offense is so egregious that it may result in an overall rating of unsatisfactory.

I have received and read my job standards and have been given an opportunity to ask any questions with my supervisor. I fully understand these standards and I agree to uphold them as part of my responsibilities. I also understand that failure to uphold these standards can result in disciplinary action up to and including termination.

Employee's signature Date

Supervisor's signature Date

SECTION 8: Refusal to Sign

	<h2>DPW Human Resource Bulletin</h2>		
<h3>DOCUMENTATION OF EMPLOYEE AWARENESS WHEN EMPLOYEE REFUSES TO SIGN DOCUMENTS</h3>			
By Direction of:	 Jay Bausch, Director Bureau of Human Resources		
HR Bulletin Number:	07-04	Category:	Labor/Management Relations
Issue Date:	July 18, 2007	Effective Date:	Immediately
References:	Management Directive 540.7, Employee Performance Review Management Directive 205.34, Commonwealth of Pennsylvania Information Technology Acceptable Use Policy HR Bulletin 04-07, Standards for Personal Use of Electronic Mail and the Internet and the Prohibition of the Use of Instant Messaging HR Bulletin 03-08		

Purpose:

The purpose of this Human Resource Bulletin is to notify Bureau of Human Resource stakeholders of the manner in which they are to document employee refusals to sign documents. It contains specific guidance concerning the signing of User Agreements for email/Internet access (Enclosure 1 to Management Directive 205.34). It rescinds Human Resource Bulletin 03-08.

Policy:

Documents such as job descriptions, employee performance reviews, etc., are instruments used to provide notice to employees of the requirements to which they are held accountable. Although the desire is for employees to read and sign these documents, their signature is not essential. However, it is essential for management to make sure employees are aware of the rules and regulations with which they must comply.

Therefore, managers and supervisors should take the following actions to document that employees who are unwilling to sign have been made aware of the requirements they must comply with:

- annotate the document to reflect the date that it was presented to the employee;
- indicate who presented the document to the employee, with the annotation accompanied by a legible signature from that manager or supervisor;
- clearly note that the employee was fully advised of his/her need to comply with the requirements in the document; and,
- clearly note that the employee refused to sign.

The annotated document will be placed in the employee's Official Personnel File, with a copy given to the employee and a copy retained by the employee's supervisor.

Refusal to sign such documents does not relieve any employee of his/her obligation to fully comply with the requirements of the document and failure to do so will subject the employee to disciplinary action.

Note that the User Agreement associated with Management Directive 205.34 Amended, "Commonwealth of Pennsylvania Information Technology Acceptable Use Policy," must, per that Management Directive, be signed in order for an employee to be granted access to Commonwealth information technology resources. That Commonwealth policy supersedes this Bulletin with respect to such User Agreements. Employees must sign/affirmatively acknowledge the User Agreement in order to be granted access to Commonwealth information technology resources; mere documentation of notice of the requirements of the User Agreement being served in response to a refusal to submit it is not a sufficient basis to grant access.

Questions regarding this HR Bulletin should be directed to your assigned labor relations analyst.



Office of Children, Youth & Families

Guidelines for Developing Performance Standards

INSTRUCTIONS

For Completing the Employee Performance Review Form

General Information

This section will be completed with the required employee/supervisor identification information. Verify that all information is accurate and the section is complete. If the form is to be completed on-line, fill-in the required data, ensuring that all information is accurate.

General Instructions

This section guides a supervisor through the sequential procedural process for assessing an employee's performance and completing the form. It includes updating an employee's job description; rating an employee based upon job responsibilities and performance expectations; providing comments; preparing an overall rating; assessing employee strengths and opportunities for development; coordinating with the reviewing officer; discussing performance with the employee, and preparing for the next rating cycle. Check each block as you proceed through the process. OCYF's Administrative Unit can also provide specific processing instructions, such as due dates and other agency-specific requirements.

Performance Standards

This section requires the supervisor to indicate the date or dates when job standards were conveyed to the employee. Standards must be conveyed in writing near the start of the rating cycle and when changes occur that add, modify, or delete standards. Supervisors should maintain a record when standards were conveyed/changed so that accurate dates can be placed on the form. Job standards may be in any format, such as objectives, expectations, job duties correlated to expected results, and job factors correlated with job standards. They must be conveyed in writing to ensure mutual understanding of assigned work and expectations for the work products.

This section also requires the date or dates when a progress review was conducted with the employee. Maintain a record of when the progress review(s) occurred. One minimum progress review is required during probationary, annual, or non-civil service/non-union interim rating cycles. Progress reviews are not ratings. They should be designed to discuss with the employee the status of assignments, problems or issues relating to the successful achievement of standards, need for additional training or guidance, and modification of assignments or standards due to factors beyond the control of the employee. If the employee is not meeting expectations, the supervisor and employee should develop an action plan to address issues.

Job Factors

All employees are to be rated on six performance factors—job knowledge/skills; work results; communications; initiative/problem solving; interpersonal relations/equal employment opportunity; and work habits. Supervisors and managers are to be rated on a seventh factor, supervision/management.

A brief definition of each job factor is provided on the form. For expanded explanation of the various issues and behaviors that are included in assessing and measuring each job factor, refer to the appropriate section of this handbook. If the form is completed on-line, hyperlinks exist between job factors on the form and the corresponding job factor link.

Rating Scale

Each factor is to be rated on a five point rating scale—*Outstanding, Commendable, Satisfactory, Needs Improvement, and Unsatisfactory*. Examples of the relative level of performance are provided for each rating. The rating scale is progressive with each higher level containing the essentials of the previous rating (satisfactory to outstanding). Since a broad range of positions, duties, and responsibilities are rated using this form, the examples are not all-inclusive and should be used only as a guide in relating the job specific standards to the five point rating scale. **Written comments are required for all ratings.** Comments are to be specific to work products and behavior and be consistent with the rating. Supervisors should comment on specific examples of work products/behavior in relation to the standards to justify the rating. If completing the form on-line, hyperlinks exist to the last page of the form where comments can be written. The space will open to meet the need.

An Overall Rating should be based on an assessment of the total work products and job factors contributing to their accomplishment. When one or more factors are considered significantly more important, their relative weight should be indicated. If completing the on-line form, hyperlink to the overall comment space on the last page of the form.

Employees are rated in relation to established performance standards/ expectations and any mitigating circumstances. The current 363L employee performance review form is designed to more clearly communicate standards and expectations of the job and facilitate more accurate assessment of employee performance.

Employee Strengths

This section should identify strong attributes or abilities of an employee, such as specific knowledge or skills. The purpose is three-fold: first, to recognize and give credit to the employee's performance and proficiency in that area; second, to maximize the employee's contribution to the organization by involving that employee in additional assignments requiring specific abilities; and third, to identify the employee as a potential mentor who could assist in cross-training or in the development of another employee. Supervisors should assess employee strengths and give appropriate feedback throughout the rating period. Although skilled employees may assist in the development of another employee, supervisors are not to abdicate primary responsibility for the supervision and development of employees under their supervision.

Examples of employee strengths would include:

- If an employee enjoys and performs well conducting a training activity even though conducting training is not a regular part of the job, additional assignments of that nature could be considered.
- If the employee has demonstrated proficiency in a specific software program, such as Microsoft Access, consideration could be given to encouraging that employee to share that knowledge with co-workers.

- The employee may have a preference for working with groups of people or organizing team projects and recognition of those strengths not only gives credit to the employee, but it also serves to assist a supervisor in selecting staff for specific assignments.

Opportunities for Development

This section affords the supervisor the opportunity to identify with the employee what knowledge, skills, and abilities need improvement. It also is used to identify developmental and/or training activities to assist the employee in addressing either areas of concern or opportunities for professional growth. For more information on completing this section, refer to pages 31-32.

Comments and Signatures

This section contains space for comments and signatures from the rater, reviewing officer, and employee. If completing the form on-line, hyperlinks exist between individual factors and the comments section on the last page of the form to provide adequate space for substantive comments. All comments are to be relevant and job-related. If any comments do not appear to meet those criteria, discussion should occur with the agency HR Office for a determination.

Rater: The rater is the employee's immediate supervisor. Additional comments can be provided for aspects of the employee's performance that have not been addressed elsewhere on the form. Where certain factors are weighted, information is to be provided to explain the overall rating.

Reviewing Officer: The reviewing officer is the supervisor's supervisor. Comments from the reviewing officer should reinforce the rating since the supervisor and reviewing officer should have discussed the rating and generally agree on the employee's standards and their achievement. Where disagreement occurs, discussion should include documentation to support individual assessments. If disagreement remains, the next level in the supervisory chain and/or the HR Director should be consulted to resolve the issues. Unless it can be documented that the supervisor has violated agency policy, or disregarded organizational standards, or evidence of discrimination exists, the reviewing officer cannot require the rating to be changed but can add comments to address areas of concern.

Employee: The employee should check a block that reflects their agreement, disagreement, or acknowledgement that they have received the rating. They also may check a block indicating that they wish to discuss their evaluation with the reviewing officer. It is the responsibility of the supervisor to ensure the employee has the opportunity to meet with the reviewing officer, and the date that occurs should be listed on the form before it is sent to the agency HR Office. If the employee requests union representation for the discussion with the reviewing officer and for any subsequent discussions of the evaluation, arrangements should be coordinated to ensure union representation is provided. If the employee refuses to sign the rating, the supervisor should make a comment on the signature line to that effect. The employee may also make additional written comments that are relevant and job related, including information that disputes dates when expectations were provided.

Form Processing

The original completed EPR form should be sent to OCYF's Administrative Unit to be logged and will then be placed in the employee's Official Personnel File consistent with agency policy and procedures. The supervisor and employee should maintain copies of the completed form. Electronic processing of the form from the rater to the reviewer for comments and then back to the rater should be encouraged. Although raters may send an electronic copy of the completed form to the employee in preparation for a discussion of the rating, raters should arrange a meeting with the employee to discuss the employee's performance, providing positive reinforcement, recognition, and constructive criticism. Employee strengths should be discussed as well as opportunities for development, allowing employee perception and input into action plans.

Following the completion of the rating process, supervisors should arrange to discuss standards and expectations for the next rating period, including the review and update of the employee's job description where necessary.

DEVELOPING SAMPLE PERFORMANCE STANDARDS

For all performance factors, the extent that supervisors and managers can make standards more specific to their individual or organizational requirements, the more valid and measurable they will be. In developing a standard, it is essential to determine how that standard will be measured, how much time is required for the measurement, whether the standard reflects a priority of the job, and whether it is realistic to expect it of a satisfactory employee.

Standards may be numeric or behavior, or be in the form of objectives. It is important to know what the expectations are, convey them in a manner that can be understood by the employee, and can be measured in a reasonable manner. Supervisors/managers should develop standards specific for a position and or groups of positions that adequately determine whether the incumbent(s) is meeting expectations that are consistent with agency policy, strategic plan, priorities, business processes, and Commonwealth policy and contribute to the measurement of the job factors.

Sample standards or areas to be considered in developing standards are contained within the sections of this handbook. The number and type of performance standards should be as inclusive as necessary to adequately measure the behaviors and activities identified in the definitions of the job factors. The sample standards included in this toolkit are examples of how standards can be written, but are not intended to be copied for each position, as each program office should establish specific standards and expectations consistent with the job functions of that position. In addition, not all employees or supervisors will have responsibility for elements contained within some of the sample standards and therefore, those standards would not be appropriate for their positions and should be removed.

Communication should occur with the reviewing officer to ensure consistency with organizational expectations and similar job functions. Where large groups of employees perform similar duties, managers may develop organizational standards for aspects of employee job duties.

JOB KNOWLEDGE / SKILLS

DEFINITION: *Measures employee's demonstrated job relevant knowledge and essential skills, such as work practices, policies, procedures, resources, laws, customer service, and technical information, as well as the relationship of work to the organization's mission. Also measured are the employee's self-improvement efforts to enhance skills and knowledge and to stay current with changes impacting the job.*

When rating an employee on this factor, a supervisor is rating the employee's demonstrated job relevant knowledge/skill. While employees may be knowledgeable in many aspects of their job, if they do not apply their expertise, it is irrelevant in terms of a performance appraisal. Similarly, knowledge that is not work-related also is irrelevant. Sound judgment must be used in determining whether the employee's inability to perform is due to a lack of knowledge or skill or due to an unwillingness to apply what is known. If problems are due to an unwillingness to apply the knowledge, these issues should be addressed in other factors such as *Work Results*, *Work Habits*, and *Communications*. Employee discipline also may be warranted depending on circumstances.

The *Knowledge* job factor is essential in determining what developmental and/or training needs exist for the employee, and these needs should be documented under *Opportunities for Development* on page four of the 363L form. Refer to pages 35-36 of this guide for additional guidance in completing the *Opportunities for Development* section.

When evaluating supervisors/managers with respect to their knowledge/skill in performing performance management responsibilities, judgment should be used to determine whether areas needing improvement are due to a lack of knowledge on how to perform these duties or whether they are due to an unwillingness to perform them, or to some other reason such as a lack of priority, inadequate planning, or disregard for certain policies/procedures. If it is determined that the inadequacies are primarily the result of lack of knowledge due to the supervisor not having been trained or having the opportunity to become proficient in the information/skill, the *Opportunities for Development* section should address these areas. On the other hand, if the areas needing improvement are primarily due to the unwillingness of the supervisor/manager to adequately perform their performance management responsibilities, the deficiencies should be addressed in the *Supervision/Management* factor.

Likewise, if the supervisor/manager performs these functions well, their knowledge of performance management functions should be recognized and considered along with other required knowledge for the job. However, the actual performance of these functions should be recognized and rated in the *Supervision/Management* factor.

When rating an employee on this factor, a supervisor should consider/assess the following:

Program Knowledge: Understanding relevant policies, procedures, practices, laws, regulations, manuals, computer software, and other material applicable to the performance of job duties as demonstrated in the manner in which work is performed and results produced.

Job skills: Demonstrating skills necessary for the performance of duties, i.e., technological, electrical, mechanical, clerical, managerial, and supervisory.

Performance management: Knowledge of supervisory/management techniques, policies and procedures.

Customer Service: Customers can be internal or external to an organization. Knowledge and skill is reflected in behavior that demonstrates an understanding of appropriate interaction with customers. It includes the employee's demeanor and assistance with or for customers. The standard also relates to proactive efforts to ensure that customer needs are anticipated and addressed, unnecessary processes and/or regulations are eliminated and streamlined, and responses are timely.

Mentoring: A step beyond training; mentoring is when an employee takes interest in the professional development of other employees and shares relevant knowledge and skill. It includes the sharing of insight, constructive criticism, and serving as a positive role model.

Sample Standards for Non-Supervisory Positions

- Demonstrates knowledge of the Commonwealth's, Department's and Bureau's policies and procedures by complying with all requirements.
- Understands program functions and integrates them with the agency mission.
- Demonstrates sufficient knowledge of software by selecting the appropriate software to properly complete work assignments.
- Understands and complies with the established guidelines for typing correspondence and reports.
- Updates/purges program files in accordance with the Department's established retention schedule.
- Provides consultation and guidance to the public, other professionals, other government agencies and providers regarding policies and procedures.
- Provide comments, insight and interpretation of proposed state legislation as well as national laws and policies. Provides knowledgeable and accurate information and recommendations within given timeframes.
- Participates in a minimum of one opportunity to expand the employee's knowledge and skills related to performing their job duties.
- Shares information and knowledge to assist others to accomplish work assignments.

Sample Standards for Supervisor/Manager Positions

- Understands the Department's organizational structure and how OCYF aligns with DPW's mission.
- Assesses the program functions and revises current office policy and procedures to improve workflow, workplace efficiency and cost effectiveness.
- Understands the budget process and effectively manages the budget that supports their operation.
- Understands and effectively uses and requires staff to use technology/equipment to accomplish projects.
- Understands the overall management of employee performance by establishing realistic and meaningful performance standards and integrating them into the employee's evaluation.
- Demonstrates knowledge of dealing effectively with people and handling sensitive issues.
- Participates in a minimum of one opportunity to expand the employee's knowledge and skills related to performing their supervisory job duties.
- Shares knowledge and instructs subordinates in the performance of their duties and responsibilities and encourages employees to further develop their job knowledge and skills.
- Performs personnel management functions with the demonstrated knowledge of all applicable policies and procedures related to the human resources, labor relations and the equal opportunity.

WORK RESULTS

DEFINITION: Measures employee's results in meeting established objectives, expectations, and standards of quality, quantity, customer service, and timeliness both individually and in a team.

When rating an employee on this factor, a supervisor should consider/assess the following:

Quality: How well work is performed. Consideration should be given to completeness, accuracy, neatness, technical and analytical proficiency, adherence to established priorities, and effectiveness of results obtained. For supervisors, both individual work and total work products of organization supervised should be assessed.

Quantity: The amount of acceptable work performed in relation to established standards. Only the amount of work that is subject to an employee's control should be considered. Realistic deadlines should be assigned to ensure that adequate time is available for completion. For supervisors, both individual work and total work products of the organization supervised should be assessed.

Timeliness: Promptness in completing routine work and special assignments. Due dates and schedules are met (or exceeded) except for circumstances beyond the employee's control. The employee's skill in adapting and making necessary adjustments should be considered when circumstances or work requirements change to meet deadlines. For supervisors, both individual work and total work products of organization supervised should be assessed.

Note: If the employee is assigned to a work team that is not under the supervisor's direct supervisory authority, it is necessary that the supervisor coordinate with the team leader or supervisor/manager in charge of the team to obtain input on the employee's demonstrated performance, contributions, attendance, work results in terms of quality, quantity, timeliness. In addition, other performance factors such as interpersonal relations, communications, job knowledge, and work habits exhibited on the team should be assessed and when necessary, input should be discussed with the employee. Sound judgment should be used in incorporating relevant findings into the EPR.

Sample Standards for Non-Supervisory Positions

- Completes work projects by the assigned due dates.
- Submits work projects in an accurate, neat and complete manner.
- Completes work in a manner that demonstrates professionalism and adheres to identified professional standards.
- Performs job duties in a manner that promotes and incorporates a team concept internally and with outside stakeholders.
- Performs work that is reflective of strength-based and solution-focused approaches.

- Demonstrates technical and analytical proficiency in the assigned work areas.
- Adheres to established agency priorities, policies and guidelines.
- Demonstrates an awareness and consideration for cost and operational efficiency.
- Demonstrates smart purchasing practices and an awareness of relevant fiscal issues.
- Demonstrates the use of relevant data, information and research.
- Demonstrates the ability to evaluate and streamline operations due to unnecessary or overly restrictive requirements and/or processes.
- Meets organizational and/or industry standards when conducting customer service work activities.
- Incorporates empowerment and supports self-sufficiency when conducting customer service work.
- Demonstrates and promotes the safety of employees and consumers.
- Demonstrates the safe, proper and authorized use of Commonwealth property.
- Demonstrates the provision of accurate and timely information and advice in a manner that meets the customer's needs, as appropriate.
- Meets objectives within assigned time frame with minimal revisions and acceptable quality of end product. Exceptions are discussed with the supervisor prior to due date.
- Demonstrates a willingness to share information both internally and externally as determined appropriate.
- Demonstrates cultural awareness and is responsive to the needs of others.

Sample Standards for Supervisor/Manager Positions

- Produces work within area(s) of supervisory responsibility that meets established standards of quality, accuracy, quantity and timeliness with few exceptions.
- Reviews work projects produced by subordinates to ensure accuracy, neatness, and completeness prior to submission within the chain of command.
- Utilizes and informs those in his/her chain of command.
- Provides subordinates with individual and group supervision and training related to their work, as determined by agency protocol or the reviewing officer.

- Documents individual and group supervisory meetings and distributes the information within the chain of command, per agency protocol.
- Promotes and exemplifies professionalism for subordinates and others within the organization.
- Demonstrates leadership within the organization and promotes a team concept among employees.
- Performs supervisory responsibilities in a manner that builds upon the strengths of subordinates, the agency and promotes a solution-focused environment.
- Demonstrates a technical and analytical proficiency for areas of responsibility.
- Demonstrates an understanding and willingness to promote the agency's philosophy and priorities.
- Demonstrates the ability to conceptualize and develop a process for capturing and utilizing information that may improve operational efficiency and contain costs.
- Demonstrates active supervision and promptly identifies nonconforming conditions and implements corrective actions to meet organizational standards.
- Demonstrates the ability to evaluate and streamline operations in area(s) of responsibility due to unnecessary or overly restrictive requirements and/or processes.
- Demonstrates that operations in area(s) of responsibility are conducted in a cost-efficient manner using available technology and information for the accomplishment of work.

COMMUNICATIONS

DEFINITION: *Measures employee's performance in exchanging information with others in an effective, timely, clear, concise, logical and organized manner. Communications include listening, speaking, writing, presenting and sharing of information. Consideration is given to client/data complexity and sensitivity.*

This factor measures functions/activities in relation to communications with peers, supervisors, subordinates, customers, clients and the required responsibilities of the position.

When rating an employee on this factor, a supervisor should consider/assess the following:

Writing skills: Includes written material that is clear, concise, organized in logical sequential order; conveys required message; incorporates required information/facts; content is tactful and sensitive to recipient.

Oral communication/feedback: Includes oral exchange of information that is clear, concise, organized logically, conveys required message, and provided in timely manner. Feedback is provided to clarify understanding of information received and given. Manner of communication is tactful and sensitive to recipient.

Oral/training presentations: Includes oral presentations to small or large groups, at meetings, or training functions. Uses appropriate technology effectively to convey information/training. Manner of presentation is sensitive to audience needs.

Interviewing skill: Includes appropriate/logical questions to elicit required information in a manner that is non-confrontational and sensitive to issues/recipient.

Listening skills: Includes demonstrated understanding of conveyed communications and minimal interruptions of speaker.

Sample Standards for Non-Supervisory Positions

- Communicates in a professional and courteous manner when interacting with individuals in person, by telephone and by email.
- Responds to telephone messages and sensitive emails within the timeframes established by the specific work site. If not able to respond, notifies supervisor.
- Briefs supervisor promptly about sensitive matters and is provided with regular updates.
- Written and verbal communications are well thought out, logically sequenced, and grammatically correct.
- Completes written documents in the approved format for each particular document utilized within the work site.

- Ensures that documents and letters contain accurate information and are presented in a clear, concise manner.
- Reflects a philosophy of customer service when communicating with customers by demonstrating respect and use of good listening skills to enhance the customer's understanding and acceptance of the information provided.
- Communicates effectively with dissatisfied customers while remaining respectful.
- Organizes the team and effectively communicates to the team members, the expected role each is to play and the tasks to be completed when developing and working with a team. The team should be organized to make the most effective use of human resources and organizing travel and overnight accommodations in the most cost effective manner.
- Communicates effectively with children, adjusting for the child's age and level of understanding during interviews regarding complaints/child abuse investigations.
- Utilizes the services of an interpreter or translator when needed to communicate with a customer.

Sample Standards for Supervisor/Manager Positions

- Provides orientation to new staff and effectively communicates office expectations, job duties, agency goals, agency objectives and operational procedures in a clear and concise manner.
- Provides clear, specific instruction to staff members to ensure understanding of work assignments.
- Provides clear, specific instruction regarding the performance of work in the field to ensure effective use of human resources, organization of travel and overnight accommodations to enhance cost effectiveness and awareness of the specific work assigned in regard to safety of the staff.
- Communicates information to staff regarding new legislation, bulletins, policies and procedures in a manner that ensures their understanding of the impact on their work environment.
- Provides feedback to staff regarding job performance that is clear and specific in order to support them in development of their demonstrated strengths and to enable them to improve in areas where they are challenged.
- Reviews written work submitted by staff to ensure that information is accurate and communication is professional and grammatically correct prior to being distributed outside of the office.
- Informs administration of sensitive matters that staff is handling and provides regular updates.

INITIATIVE/PROBLEM SOLVING:

DEFINITION: Measures the extent to which the employee is self-directed, resourceful, and creative in performing job duties individually or in a team. Also measures employee's performance in identifying and resolving problems; following through on assignments; and initiating or modifying ideas, methods, or procedures to provide improved customer service, redesign business processes, and accomplish duties.

This factor measures the employee's performance in accomplishing tasks without the supervisor having to follow-up more often than would normally be expected; optimizing individual and/or organizational resources to meet goals; demonstrating originality and creativity in performing responsibilities individually or as part of a team; and identifying and resolving or suggesting solutions to problems or potential problems. Consideration should be given to:

- The amount of supervision required, relative to the supervision normally provided by a supervisor
- Following through with assignments
- Identifying and resolving situations before they become problems
- Identifying and resolving problems either individually or as part of a work team
- Developing creative/innovative solutions to problems or innovative ideas for improvements
- Offering suggestions for improving customer service
- Offering recommendations for streamlining and improving procedures and businesses processes
- Conveying a willingness to help
- Working within established policies and procedures to accomplish difficult tasks
- Making suggestions for changes to policies and procedures when needed
- Recognizing when to seek and seeking assistance to resolve problems

When rating an employee on this factor, a supervisor should consider/assess the following:

Initiative: The degree to which an employee takes initiative/pro-active action to identify cost-effective, efficient ways of performing job duties and/or recommending changes to achieve that end; looks for opportunities to make improvements; attends training and other opportunities to learn ways to improve; and takes action to research/resolve problems/issues within level of authority and without specific direction.

For a supervisor, it also includes promoting/reinforcing/rewarding positive and creative improvements and efforts; providing time/resources within their means, and recognizing team efforts to address new initiatives for performance improvement. It also involves demonstrating openness to change and obtaining/encouraging training to facilitate improvement.

Analytical skills: The thoroughness and accuracy of considering, understanding, interpreting, analyzing, and presenting data, facts, rules, legislation, options, procedures, customer input and incorporating/applying that knowledge/analysis in work products. It also includes adequately preparing for the impact of these issues on the project/assignment.

Sample Standards for Non-Supervisory Positions

- Recognizes and presents problems to appropriate responsible parties in a solution-based manner.
- Provides resources or proposes actions that can help to alleviate or resolve identified problems.
- Demonstrates ability to understand varied circumstances, limitations, or restrictions when proposing solutions.
- Performs necessary tasks without specific direction, where appropriate, and within established limits of responsibility.
- Demonstrates ability to determine what needs to be done according to established priorities and pursues appropriate means of accomplishing tasks.
- Identifies areas of potential improvement and makes suggestions for improvement.
- Explores alternative approaches to problem solving, either individually or as part of a work team.
- Adapts to changing work requirements to complete assignments.

Sample Standards for Supervisor/Manager Positions

- Takes action to ensure appropriate personnel are trained and functions are prioritized to maintain/improve services as policy and procedural changes occur.
- Identifies sources of problems and conducts research to recommend or take action to resolve difficulty.
- Coordinates processes with other work units, as appropriate.
- Seeks ways of increasing efficiency and effectiveness of the work unit, making recommendations that result in areas of improvement to the responsiveness, quality of work or professionalism of the department, bureau, or division.
- Makes necessary changes to ensure operations are meeting the agency mission and requirements in a customer oriented and efficient manner.
- Utilizes current available technology efficiently to assess or address problems.
- Identifies policy/procedures that are redundant or do not add value to the process.
- Encourages staff to rethink business practices and is open to suggestions to improve and streamline operations.
- Provides innovative incentives for staff creativity.

INTERPERSONAL RELATIONS/EEO

DEFINITION: *Measures employee's development and maintenance of positive and constructive internal/external relationships. Consideration should be given to the employee's demonstrated willingness to function as a team player; give and receive constructive criticism; accept supervision; resolve conflicts; recognize needs and sensitivities of others; and treat others in a fair and equitable manner. Supervisors and team leaders also are to be assessed on their demonstrated commitment to Equal Employment Opportunity, diversity, and proactive actions to prevent and address all forms of discrimination.*

When rating an employee on this factor, a supervisor should consider/assess the following:

Relationship with people: This function involves how well an employee maintains a good working relationship and a nondiscriminatory work environment, accepts authority, and accomplishes work through working relationships with peers, supervisors, subordinates, and internal/external customers. It includes behavior and demeanor that is professional, objective, and fair with minimal conflict that is disruptive to the accomplishment of work objectives. Activities such as inappropriate ethnic, racial, or sexual jokes, literature, postings, and behavior at the work site also are to be considered.

Teamwork: This function involves working in a group/team to accomplish assignments and projects. It includes delivery of work assignments, adherence, to timeframes, cooperative attitude, recognition/respect of individual and group needs.

Diversity: This function involves demonstrating respect for people regardless of race, creed, age, gender, lifestyle, disability, or viewpoint and recognizing the impact of individual actions and program decisions on internal and external diverse groups' values. Within an employee's authority, actively seeks out/incorporates diverse groups into the research/decision making process to enrich decisions and ensure that work results do not adversely impact on groups/individuals except as necessary.

Equal Employment Opportunity and Diversity for Supervisors:

EEO - This function includes compliance with administrative requirements relating to the agency EEO plan and action plans. It includes following proper interview procedures relative to interview questions, employment considerations, recruitment/promotion practices, equitable training opportunities for staff, investigation and resolution of discrimination complaints, consideration of disability accommodation requests, timely and appropriate completion of EEO forms/paperwork/reports, and proactive actions to ensure staff are knowledgeable and comply with EEO and anti-discrimination policies.

EEO - This function also involves maintaining a non-discriminatory work environment without regard to race, sex, national origin, disability, age, and other non-work related factors. It includes providing equitable treatment and opportunity regarding hiring, assignments, promotions, performance evaluations, and training. It involves the process of developing action plans that assist in achieving EEO objectives for the work unit; implementing plans involving

hiring and training; ensuring employees are knowledgeable of their EEO/diversity responsibilities and are encouraged to fulfill them; and taking corrective action to ensure EEO and diversity objectives are met. It includes establishing/enforcing EEO/interpersonal relations standards, investigating and addressing employee complaints, cooperating with EEO office investigations, and taking appropriate corrective action.

Diversity - This function involves demonstrating respect for people regardless of race, creed, age, gender, lifestyle, disability, or viewpoint and recognizing the impact of individual actions on internal/external diverse groups' and values. For a supervisor, it also involves proactive actions to include diverse groups in the formulation of policy; encourage/promote a supportive environment for diverse views/teams; recognize and respect needs, sensitivities, and cultural differences of others; ensure decisions regarding opportunities for training, promotion, recognition, favored assignments are considered for diverse groups; and actions/programs planned reflect consideration of the potential impact of decisions on diverse groups' values both internally and externally.

Sample Standards for Non-Supervisory Positions

- Reviews all required policies and procedures as set forth by the Commonwealth, as well as any other policies and procedures for their individual department and bureau regarding interpersonal relations/Equal Employment Opportunity (EEO) requirements.
- Demonstrates knowledge of the Commonwealth's, Department's and Bureau's policies and procedures by complying with all requirements.
- Does not mistreat or display a demeaning attitude or behavior (including inappropriate ethnic, race, religion, gender jokes and/or written material) in the workplace toward another employee, client, or member of the public.
- Demonstrates a willingness to effectively function as a team player with peers, supervisors and the public with which they interact to accomplish assignments and deliver services in a fair and equitable manner.
- Cooperates with others on team assignments, actively participating and performing assigned functions consistent with team goals and objectives and timeframes as needed without complaining.
- Promotes harmony among co-workers by showing respect for the opinions of others by constructively discussing areas of disagreement and keeping personal problems from affecting their work performance.
- Attends and participates in required training programs relative to equal opportunity, diversity, sexual harassment, and discrimination that will assist them in developing skills to facilitate working effectively with all persons.
- Incorporates policies of diversity and inclusiveness in conducting work assignments, assessing effect of decisions and policies on various affected groups, and including diverse representation at meetings and in the decision making process.

- Does not exhibit inappropriate behavior, such as fighting, pushing, yelling, overt demonstration of extreme anger, threats, and non-professional language in the workplace.
- Identifies cultural factors that may impact the development and delivery of services, including knowledge on how to access translator and language facilitators.

Sample Standards for Supervisor/Manager Positions

- Takes proactive steps to achieve equal opportunity goals that have been approved for the work unit, effectively and creatively using recruitment, promotion, training, and employee development strategies.
- Ensures individuals are treated and services are provided in an equitable manner.
- Promotes an awareness and respect for diverse interests, opinions, cultural differences and incorporates diverse groups into the decision making process and ensures staff incorporate this awareness into their work activities.
- Responds promptly to allegations of discrimination and/or sexual harassment through a fair and complete investigation of facts and takes corrective action consistent with facts and agency policy.
- Receives and ensures staff receives required training relative to EEO, ADA, diversity, sexual harassment, and HIV/AIDS.
- Maintains a work environment free of discrimination and harassment by reinforcing policies in staff meetings, memos, and personal actions.
- Responds to requests for disability accommodations constructively and consistent with agency policy.
- Knows how to identify cultural factors that may impact the development and delivery of services, including knowledge on how to access translator and language facilitators and can disperse this information in a consistent and timely manner to employees.

WORK HABITS

DEFINITION: *Measures employee's performance relative to efficient methods of operation, customer service, proper conduct, speech, ethical behavior, and Commonwealth and agency/work unit policies and procedures such as attendance, punctuality, safety, security, proper care and maintenance of assigned equipment, and economical use of supplies.*

When rating an employee on this factor, a supervisor should consider/assess the following:

Efficient Methods of Operations: This involves the ability to accept and to adapt to procedural, operational and/or organizational changes. Work reflects adjustments when conditions demand new approaches. Advanced planning is accomplished to ensure minimal backlog of work. Supervisor is notified in advance of issues or potential problems that may delay project or work assignments. Organizes work to minimize paperwork and eliminates redundancy of similar work activities. Final work assignments are prepared in accordance with established guidelines and submitted within established time frames.

Customer Service: This involves demeanor and responsiveness toward organizational customers. Understands customer needs and satisfies customer concerns within authority to act. Exhibits courtesy and pleasant attitude toward customers without expressing displeasure and dissatisfaction. It also includes: identifying internal and external customers; developing an understanding of customer needs and expectations; anticipating customer needs; providing timely service; and listening to and considering customers' concerns and complaints.

Proper Conduct and Ethical Behavior: This involves adherence to Commonwealth, agency, and work unit conduct and behavior policies and guidelines. Maintains professional behavior and work results which reflect adherence to established guidelines when dealing with other employees, individual customers, outside business or industry representatives. Conduct conforms to the Governor's Code of Conduct, State Ethics Act, and other applicable guidelines.

Attendance and Punctuality: This involves conformance to established work hours, rest periods, punctuality at required work activities, timely completion of leave requests including acceptable documentation, if applicable, and proper use of sick leave. Behavior such as arriving late, exceeding lunch hours or breaks, leaving work early, or prolonged unexcused absences from the work site is to be considered. The number of variables to be considered in evaluating attendance precludes the effective use of numerical standards. Consequently, judgment must be exercised in reviewing employee sick leave records and long-term illnesses or circumstances beyond the control of the employee. Patterns of suspected abuse or consistent/frequent single day absences should be evaluated and discussed with the employee and appropriate counseling/leave restriction given in a separate meeting at time of occurrence.

When rating supervisors on attendance, only their personal attendance/punctuality practices should be assessed. Their responsibilities as supervisors to monitor and control their employees' attendance should be rated in the Supervision/Management factor.

Safety and Proper Care of Assigned Equipment: This involves the conformance to established work rules and other safety considerations, and appropriate use and maintenance of equipment. Work results reflect safe operation involving precautions and/or practices that minimize potential safety hazards or accidents. Exercises care, maintains equipment, and uses protective devices and/or personal protective equipment that minimize work injuries/accidents. Work areas are clean, clear and free from personal or Commonwealth obstacles that could result in injury or impede job duties. Promptly reports personal work-related injury/accidents to immediate supervisor.

Security: Adherence to proper protection measures as prescribed by agency and work unit standards to insure no or minimal loss of Commonwealth property. Security includes but is not limited to documents, files, cash, negotiable instruments, sensitive/confidential information, equipment facility, or supplies.

Economical Use of Supplies: Prudent use and care for organizational supplies. When feasible, effectively uses existing supplies to conserve costs and to minimize discarding of outdated supplies. Employee's ordering of supplies reflects consideration of existing inventory.

Sample Standards for All Positions

- Exhibits courtesy and pleasant demeanor toward customers and co-workers without expressing displeasure and dissatisfaction.
- Works in a team member approach and collaboratively, both internally and externally.
- Accepts procedural, operational, and/or organizational changes and adjusts when conditions demand new approaches.
- Adheres to the established work hours for arrival and departure from work and the lunch and break periods. This also includes appointments, meetings, interviews, and other time-sensitive activities during the workday.
- Considers other staff in the scheduling of meetings, adherence to established time frames, and efficient conduct of business.
- Behaves in an ethical manner and adheres to the Governor's Code of Conduct.
- Schedules equipment for regular preventative maintenance according to the established schedule.
- Utilizes all office equipment for official Commonwealth business only.
- Adheres to instructions for the safe operation and care of equipment.

- Ensures proper security measures for documents, files, cash, negotiable instruments, sensitive/confidential information, equipment, facility, or supplies are followed according to prescribed procedures.
- Adheres to safety rules and regulations and applies necessary safety precautions and/or practices in the performance of assigned duties and reports recognized existing or potential safety hazards to the immediate supervisor within prescribed agency standards.
- Reports personal work-related injury and accidents to the immediate supervisor according to prescribed agency procedures and timeframes.
- Utilizes protective devices and personal protective equipment application to ensure minimal work injuries and accidents.
- Performs duties in an environmentally friendly ("green") manner as outlined in agency procedures.
- Discards and stores cleaning chemicals and material according to manufacturers' instructions, residual waste procedures, and agency policy.
- Maintains work areas to be clean, clear, and free from all obstacles that could result in injury or impede job duties.
- Adheres to agency-mandated policies when dealing with outside business associates or industry representatives.
- Prepares assignments in accordance with established guidelines and submitted within established time frames.
- Allows flexibility in planning schedule to accommodate "unusual" or "must have" projects.
- Notifies supervisor in advance of issues or potential problems or planned absences that may delay project/assignment completion.
- Organizes key activity tasks to minimize paperwork, reduce follow-up calls, and eliminates redundancy in the handling of like activities wherever possible.
- Effectively manages workload to ensure completion of work.
- Works in a strength-based, solution-focused approach with all assignments and encourages others to do the same.
- Works in other units during idle time to help other staff.
- Learns new systems and information management methods and is responsible to share information effectively and timely within other systems of the department.

- Engages in a leadership role while completing special assignments internally and externally (i.e. Quality Service Reviews, Continuous Quality Improvement, County Improvement plans).
- Uses leave in accordance with established eligibility policy and does not misuse or abuse leave.
- Enters requests for leave prior to usage into ESS, unless there are extenuating circumstances.
- Requests for unscheduled absences are verbally made to the immediate supervisor, as soon as possible, within the established time frames and guidelines for the department. If the supervisor is unavailable, the request is made verbally to the next supervisory level or designee.
- Provides acceptable documentation to supervisor when sick leave is for three work days or more, and for other leave use requiring documentation. No instances occur in which employee fails to provide the required documentation.
- Adheres to the established work hours for arrival and departure from work and the lunch and break periods.

SUPERVISION/MANAGEMENT

DEFINITION: Measures leadership, judgment, initiative, and achievement of expectations. Effectively manages programs/projects, employees, budget, technology, and organizational change to produce positive result. Engages in strategic planning and measurement, performance management, teamwork, staff development, and recognition of accomplishments. Promotes diversity, customer service, inclusiveness, collaboration, effective communication, and positive labor/management relations. Uses innovation and fulfills administrative requirements.

When rating an employee on this factor, a supervisor should consider/assess the following:

Leadership: This function relates to OVERALL direction, guidance, coaching and inspiration provided to staff. It incorporates and supports positive qualities of cooperation; inclusiveness; expertise; cost efficiency or smart purchasing; initiative; creativity; customer service; dependability; ethical conduct; dedication; effective staff and technology utilization; recognition and support; facilitation of positive change; and adherence and commitment to high standards of achievement. Leadership stimulates, plans for, and sustains change and innovation in order to improve services, streamline operations, and eliminate unnecessary processes using the following components:

D – Define – defining one’s desired state and what the organization wants to improve. Defining what a system seeks to improve in operational terms means engaging key stakeholders in discussion to strategically identify specific and meaningful issues that system partners are interested in improving.

A – Assess – assessing strengths and gaps in performance capacity, performance actions, outputs and outcomes. Ensuring that the assessment process is an inclusive process since the achievement of positive outcomes will only be realized when the full resources of other key individuals are considered and utilized.

P – Plan – planning for quick wins, medium term improvements and longer term improvements that leverage strengths and address root causes for gaps.

I – Implement – implementing plans for maximum impact and sustainability. Successful implementation of plans involve engaging key internal and external stakeholders who will actively support the implementation of both quick win action steps as well as the long term goals.

M – Monitor – monitoring progress through ongoing evaluation and follow through with continuous quality improvement efforts to measure progress and the impact of the progress on goals and outcomes, i.e., a willingness to reassess, re-plan and re-implement plans that are not achieving intended outcomes.

Critical Decision Making/Judgment: Makes decisive and appropriate decisions based upon accurate assessment of issues, problems, alternatives, and factors impacting on a situation or person. Has solid understanding and respect for organizational culture and sensitivities of staff. It also includes the use of analytical thinking that identifies patterns/connections between situations that are not obviously related as well as consideration given to the following components:

- What additional information is needed, i.e., use of data?
- Who will the decision impact and who needs to know now versus later?
- What will the decision accomplish?
- What alternatives were considered?
- What is the final decision and how was it reached?
- What is the plan of action for implementation, i.e., how will it be communicated, monitored and evaluated?

General Planning: This function involves anticipating what needs to be done, by whom, with what resources and within specific timeframes. It includes effective project and time management activities such as:

Scheduling - a logical plan outlining when individual or group activities will be started and completed. Priorities, work schedules, and deadlines are to be considered.

Organizing - the design of the number and kinds of positions, along with their duties and responsibilities, and other resources required to achieve objectives. It also involves the best use of staff, resources, space, equipment, and technology.

Prioritizing - knowing what results are important and focusing resources to achieve goals.

Procedure setting - a detailed method/process for carrying out a specific program function.

Budgeting - planned expenditures required to achieve objectives and required tasks. Consideration should be given to effective use of overtime, supplementary work forces, purchases, and cost saving activities/cost efficient activities.

Technology - effective/creative use of available technological resources and pursuit of new technology and changes to improve operations. It includes openness to staff innovation projects and suggestions.

Change management - proactive efforts to change business methods to increase efficiency, customer service, or other improvements through use of strengths based solution focused strategies.

Diversity - ensuring that program objectives, activities, and results reflect an understanding and minimization of adverse impact on diverse groups by ensuring adequate research and input from affected individuals/groups are included to the extent possible in decisions and work activities. It also involves recognizing and articulating the mutual benefits of diversity.

Collaboration - proactive efforts to seek the advice, assistance, and information of informed staff to “brainstorm” various options and solutions for addressing problems or seeking opportunities for improvement.

Performance Management: This function includes not only the establishment of performance standards/expectations, employee monitoring, and evaluation, but also staff development and recognition, constructive communications, employee counseling/discipline, attendance management, recruitment/selection, and equitable/fair treatment. Specifically it includes:

Directing - assigning work, responsibilities, and authority so that employees can make maximum use of their time, expertise, and abilities to achieve objectives/expectations.

Coordinating - ensuring that activities are carried out in relation to their importance and proper sequence with a minimum of conflict and with appropriate input between and among employees and organizations, both internal and external, and with available and projected staff, budget, and technical resources.

Staffing - ensuring that adequate qualified employees are hired and duties are assigned based on employees' skill levels and clear lines of responsibility and authority. Included is adherence to recruitment/selection/promotion policies, including interviewing, background checks, development of job descriptions and essential job functions, and staff assignments for peak workloads.

Supervising - giving employees day-to-day instructions, follow-up, guidance, and training as required for them to fulfill assigned duties and responsibilities.

Coaching – giving employees guidance that helps them explore the situation, identify options, evaluate strengths and weaknesses of those options so that they can become confident and comfortable finding their own solutions.

Motivating - encouraging employees to perform by providing adequate recognition for work results, effort, and contributions as well as identifying opportunities for employees to improve and determining ways to assist employees in addressing those needs.

Teamwork - functioning and instilling in staff the willingness to cooperate in groups to accomplish work objectives and providing necessary time for team assignments. It involves utilizing teams to engage diverse concerns or engage diverse skills, expertise, and abilities. It includes effectively evaluating team products and also individual contributions to these results.

Inclusiveness - proactive efforts to seek a broad range of involvement from staff, customers, and those with differing opinions to maximize ownership of decisions and work results, and to increase employee involvement, commitment, and morale.

Controlling - establishing appropriate monitoring activities and program measures to ensure knowledge of the status of work assignments, standards, attendance, and adherence to established deadlines and taking corrective action when necessary.

Establishing performance standards/objectives/expectations—the development and modification of employee performance expectations and integration with organization mission, strategic plan, and agency standards. It also includes expectations for streamlining and making programs more responsive, customer oriented, and operationally efficient.

Measuring - establishing program measures and determining through evaluation of work products whether employee assignments and organizational objectives are being completed within expectations.

Evaluating - determining causes and effects on performance and possible ways to act upon significant deviations from expected performance. It involves substantive evaluation of each employee's performance within established time frames, with adequate documentation and appropriate coordination with the reviewing officer and other relevant staff.

Counseling - holding constructive discussions with subordinates about issues impacting upon their performance, including regular feedback, progress reviews, annual evaluations, referral or information about SEAP, and discussion regarding career opportunities and employee development.

Mentoring - sharing relevant knowledge, skill, insight, encouragement, and constructive criticism for the professional development of another.

Recognition - recognizing quality work both formally and informally, particularly for innovative changes/recommendations resulting in program improvements, streamlining of operations, and technological advances. It also includes making use of available agency/Commonwealth employee recognition programs.

Training/staff development - assessing employee strengths and weaknesses and providing opportunities for employees to increase their skills/knowledge. Providing training or coordinating with appropriate resources to obtain relevant training. Arranging for both formal and informal learning opportunities. Mandating training where needs/policy exists.

Correcting - taking corrective action to address inadequate employee or program performance, inappropriate behavior, or unfavorable trends. It includes reasserting expectations or adjusting unrealistic performance standards, modifying work functions/resources, reemphasizing quality control, safety, and cost saving methods, initiating corrective changes, taking appropriate discipline in a timely manner, effectively managing employee probationary periods, and effectively monitoring employees' time and attendance standards.

Attendance management - effectively monitoring staff attendance and ensuring compliance with agency/Commonwealth policy and administrative procedures.

Organizational Accountability: This function involves delegating authority tasks to qualified individuals and creating structures to ensure oversight and accountability without conflict of interest. It includes reviewing delegations regularly to confirm that those delegations are still appropriate and that the structures put into place are still effective for oversight and accountability purposes.

Customer Service: This function involves being person centered in identifying customers and their needs, establishing customer service standards/expectations/measures for staff, recognizing and rewarding customer service efforts, and holding subordinates accountable for quality customer service. It also includes providing customers with opportunities for consultation on concerns; accepting responsibility for quality service delivery; seeking innovative approaches

for improvement based on customer feedback; evaluating, streamlining and/or eliminating unnecessary processes; and responding to customer needs.

Administrative: This function involves adherence to agency procedural responsibilities relative to the preparation and monitoring of required reports such as project status reports, overtime/leave utilization, accident/safety reports, and travel regulations.

Management/Union Cooperation: This function involves the manner in which a supervisor effectively coordinates with union representatives and employees to maintain a harmonious work environment consistent with labor management agreements/contracts and Commonwealth policy. It includes addressing employee complaints in a timely and appropriate manner, conduct of labor management meetings, and effective coordination and communication with management and the labor relations staff.

Sample Standards for Supervisor/Manager Positions

- Develops program action plans identifying staff, budget, technology, and other resources, priorities, action steps, time requirements, and expected outcomes.
- Provides leadership, direction, and support to evaluating and changing program functions for the purpose of eliminating and/or streamlining unnecessary processes and regulations, and utilizing or recommending technological or innovative resources for more efficient and effective operations.
- Coordinates effectively through discussion, written correspondence, and regular feedback with employees, management, and organizational entities to obtain support, resources, commitment, and action to accomplish assignments.
- Provides leadership/direction/coaching, without direct supervision, to teams, organizations, and employees in a manner that generates cooperation, program expertise, identification and resolution of issues, and achievement of objectives.
- Utilizes all available resources, maximizing staff expertise, budget, equipment, and technology effectively. Does not exceed overtime budget allotment without adequate/approved justification.
- Encourages an inclusive environment by ensuring input is sought and considered from relevant groups/interests to maximize customer service and ensure program functions address appropriate issues while minimizing negative impacts.
- Coordinates implementation and collaborates on projects with other work units and departmental personnel.
- Recommends, implements, and encourages program initiatives involving policy change or significant alterations of procedure or practices in order to eliminate or streamline unnecessary processes/regulations to make operations more responsive and customer oriented.

- Communicates in a clear, concise manner, agency priorities, establishes measures, and provides regular feedback to subordinates.
- Establishes and communicates performance expectations and program measures to employees at the beginning of the rating period or as changes occur, and provides feedback on meeting those expectations, with at least one formal progress review.
- Completes meaningful employee performance reviews by the required due date, consistent with established standards/objectives and adequate documentation to support ratings.
- Prepares and updates all sections of the position descriptions on an annual basis.
- Ensures that workloads are fairly distributed consistent with responsibilities in job descriptions.
- Communicates customer service standards/values/expectations to staff and customers and empowers employees with authority to meet customer expectations in a timely manner. Provides recognition for quality service and addresses inadequate service through discipline, additional training, or other appropriate means.
- Defines clear project objectives and realistically formulates action plans so that results are achieved within specified time frames.
- Meets monthly with subordinates to discuss projects, program changes and program improvements and provides overview of resulting discussions to rater within one week of meeting.
- Establishes appropriate work plans and monitoring activities to ensure work is accomplished according to expectations/standards.
- Counsels employees on work-related problems. Follows designated procedures if further discipline is required. Where necessary, advice and assistance is sought from OCYF's Administrative Unit and/or higher levels of management.
- Trains and provides orientation to all new employees on procedures, job functions and objectives of the section. Employees are provided with training and instruction on changes or updates to policies and procedures.
- Assesses employee training and developmental needs and attempts to, within agency policies, provide opportunities for employees to obtain necessary training and development. Provides input into agency training needs assessments and identifies areas of improvement and/or training needs on employee performance evaluation forms. Discusses with employees, opportunities for improvement and arranges for opportunities to occur.
- Provides cross-training and seeks development assignments for staff.

- Ensures that all new employees and employees promoted into positions receive their job description, performance standards/expectations within two weeks of start of probationary period. Employees are provided necessary feedback regarding performance with at least one mid-probationary period progress review. Probationary period/interim ratings and discussions are conducted prior to the end of the probationary period, and decisions relative to extensions of probationary periods or termination are discussed with appropriate management/Human Resource staff prior to end of probationary period.
- Provides employees with appropriate recognition of quality work and encouragement to improve and take initiative to make programs more effective, streamlined, responsive, and technically proficient. When appropriate, nominates employees for agency recognition awards.
- Follows department procedures for interview and selection of candidates. Refrains from making commitments without Human Resource Office approval. Conducts applicant background checks consistent with agency policy. Prepares appropriate correspondence in timely manner as required by agency policy.
- Investigates and addresses employee complaints/grievances in a timely manner. Takes constructive action to resolve issues consistent with policies and procedures. Involves management staff and/or Human Resource Office consistent with policy and delegated responsibility relative to issues or grievances.
- Documents and takes appropriate discipline in a timely manner to address performance problems or misconduct. Prepares correspondence consistent with delegated authority and required procedures.
- Meets with union representatives on an as-needed basis to discuss issues of concern and works cooperatively to facilitate a good union-management working environment. Addresses union issues consistent with policy while remaining open to requests that are not adverse to operations.
- Conducts regular safety briefings and ensures safety rules are followed.
- Sets an example of professional behavior expected of subordinates.
- Promotes, coordinates, and continues to develop the Keep Pennsylvania Beautiful Campaign in a customer friendly manner by involving 5% more participation of partners.
- Identifies consumer concerns and takes necessary action or refers customer so that problems can be addressed.
- Ensures Commonwealth and DPW time and attendance policies and procedures for work unit(s) are followed.
- Ensures employee eligibility for leave and that necessary documentation is provided before approving/disapproving leave requests.

- Ensures that employee leave balances and usage patterns are reviewed at least quarterly.
- Ensures that suspected leave abuse/misuse or unauthorized leave is documented.
- Ensures that employees suspected of leave abuse are counseled and designated procedures are followed if further discipline is required. Where necessary, advice and assistance is sought from the Human Resource Office and/or higher levels of management.
- Ensures that leave approvals are consistent with management's responsibility to maintain efficient operations. In addition, ensures Commonwealth policy, agency policy, and appropriate collective bargaining agreements are followed when it is necessary to limit the number of employees on leave.

Opportunities for Development

This section is designed to identify for the employee areas of performance that either need improvement or where additional knowledge or skill could enhance current performance or prepare an employee to perform different or higher level assignments. Developmental opportunities also provide the employee with an appreciation of other program functions that impact on the mission of the organization.

Supervisors should identify where improvement and or developmental experiences may be appropriate and discuss with the employee various options for achieving the desired result. Training and education courses are only one option and may not be the best method for addressing the need. The supervisor and the employee both are responsible for ensuring that the employee has opportunities for improving performance and should develop an action plan and monitor it throughout the rating period. Where applicable, coordination should occur with the agency training officer.

Examples of Performance Improvement Activities:

- **Self-Instructional** - completing systematic instruction at the learner's own pace.
- **Directed Reading** - selecting and assigning appropriate, work-related literature for study and discussion.
- **Problem Solving** - making an assignment involving research, problem solving, or innovation that requires creativity and logic.
- **Delegation** - reviewing the work and tasks at hand and making assignments based in part on the developmental value of the assignment.
- **On-the-Job Training** - imparting knowledge and skills using specific adult training model.
- **Job Enrichment** - developing new assignments to provide challenge and to develop new skills.
- **Stretching** - expanding performance by qualitatively challenging the employee.
- **Self-Fulfilling Prophecy** - communicating expectations in a way that enables the employee to excel.
- **Modeling** - conveying expectations for behavior and performance through example.
- **Formulating/Articulating Over-Arching Goals** - determining and reinforcing what is really important in your unit.
- **Making Meaningful Assignments** - delegating work so that everyone is clear as to why the assignment is being made.
- **Questioning** - asking the right questions and using methods designed to increase staff autonomy.

- **Tolerance of Failure** - allowing learning by experimentation and practice without undo fear of failure.
- **Feedback** - providing positive reinforcement and constructive corrective feedback in the development process.
- **Orientation** - orienting a new employee to the agency, job responsibilities, and performance expectations. This also applies to orienting a new supervisor to supervisory/management responsibilities.
- **Job Exchange** - exchanging jobs within a unit for six to nine months for purposes of cross training.
- **Mentoring** - pairing a less experienced employee with an experienced one for a period of time.
- **Rotational Assignments** - assigning an employee to another unit for six to nine months to develop new skills or knowledge.
- **Meetings** - sending a staff person to represent you at certain meetings.
- **Off-Site Assignments** - observing operations at a work location other than the one where the employee normally works for less than one week.
- **In-Service Training** - formal instruction provided by internal resources.
- **Out-Service Training** - formal, instruction provided by external resources and funded by the employee's organization.

Performance Standards
HUMAN SERVICES PROGRAM SPECIALIST - BJJS

JOB KNOWLEDGE/SKILLS

- Demonstrates an understanding of how youth become involved in the juvenile justice, progress through juvenile courts and transition out of the system.
- Understands the contents of the Juvenile Act and its impact on OCYF, BJJS and the YDC/YFC system.
- Obtains a general understanding of the different funding sources for services provided to adjudicated youth in both the public and private sectors.
- Understands evidence-based services and their use with adjudicated youth.
- Understands how to facilitate sustainable organizational change.
- Demonstrates an understanding of normal adolescent development, criminogenic behaviors and how to differentiate between the two.
- Demonstrates knowledge of the Commonwealth's, Department's and BJJS's policies and procedures by complying with all requirements.
- Demonstrates the ability to work with and within complex bureaucratic systems to promote the agency's mission.
- Completes required trainings and seeks out new areas for professional development.
- Demonstrates sufficient knowledge of community-based resources relevant to successfully transitioning youth back out of residential programs.
- Understands current trends in the area of working with adjudicated youth.
- Provides consultation and guidance to facility personnel in a timely, professional and accurate manner.
- Completes program monitoring, fiscal oversight responsibilities and report submissions for assigned grants.
- Utilizes Microsoft Office and utilized the software to improve efficiency.
- Demonstrates the ability to manage complex projects.
- Demonstrates the ability to work simultaneously on different projects.

WORK RESULTS

- Responds to or provides acknowledgment of received emails within two business days.
- Submits grant-related program monitoring, fiscal reports and other related reporting requirements to immediate supervisor for review within three business days of the funding agency's deadline for submissions.
- Submits facility site visit reports within five business days after the visit.
- Reviews contractor invoices for accuracy and forward for payment or returned to the contractor for revisions within seven days of receipt.
- Completes assigned work projects on or before the assigned due dates and requires minimal corrections by supervisory personnel.
- Completes monthly, quarterly and annual fiscal reports within three business days after the end of the respective reporting period.
- Submits work projects in the appropriate format and needing minimal revisions.
- Performs work in a manner that solicits and incorporates the opinions of other employees and relevant stakeholders.
- Displays customer service oriented work and is responsive to both internal and external customers/stakeholders.
- Finds solutions to problems and builds upon strengths rather than being deficit based when completing job duties.
- Notifies immediate supervisor if work assignments are not able to be completed on or prior to an established deadline, and solicits the supervisor's assistance and input.

COMMUNICATIONS

- Completes site reports and other written communications in a clear, concise manner and speaks to the intended audience.
- Communicates work assignments, such as facility reports, program development reports and action plans, in a factual manner.
- Is proactive in providing his/her supervisor with bi-weekly updates related to areas of responsibility such as progress made with assigned action plans, assigned projects, and/or other issues of concern/potential barriers.

- Develops and/or comprehends subject matter and presents it in a public forum to external and/or internal stakeholders.
- Facilitates workgroups in such a manner that solicits involvement and input from attendees.
- Utilizes software such as PowerPoint, Word and Access during the performance of their day-to-day work and as part of presentations to stakeholders.
- Responds to emails and other written communications in a manner that values the opinions of others and presents the bureau in a positive manner.
- Listens to, values and responds appropriately to the opinions expressed by internal and external stakeholders.
- Ensures that assignments and/or other written communications are completed in an approved and/or standardized format that's acceptable to the current administration.
- Seeks out and keeps his/her immediate supervisor of areas/issues that may impact on the operations of DPW, OCYF, BJJS and/or the YDC/YFC system.
- Utilizes Limited English Proficiency resources, when necessary.

INITIATIVE/PROBLEM SOLVING

For these standards, consistently addressing existing situations will be considered as satisfactory performance. Preventing some situations from occurring and suggesting useable innovations will be considered commendable. Developing innovative ways to maximize resources to improve customer service and solving complex problems will be considered outstanding.

- Looks to gather factual information related to issues of concern within or outside of the YDC/YFC system and independently develops possible solutions that can be presented to his/her immediate supervisor.
- Seeks out current best practices and/or solutions to problems and/or things related to assigned work areas, with minimal or no prompting.
- Demonstrates the willingness to assist internal and external stakeholders to solve/work toward improving services within and outside of the YDC/YFC system, with minimal or no prompting.
- Understands and puts into practice systems theory and the interrelationship YDC/YFC system as a component of the juvenile justice, child welfare and other human service systems.

- Demonstrates independent decision-making in the performance of his/her day-to-day work where determined by his/her immediate supervisor to be appropriate.
- Demonstrates the ability to work simultaneously on several projects and within varying timeframes for completion.
- Independently seeks out additional funding sources, grant opportunities and/or resources that will further enhance the services provided by the YDC/YFC system.
- Performs his/her work, travel and purchases in a manner that demonstrates fiscal awareness and accountability.
- Ensures the accuracy of contractor's invoices prior to submitting for payment.
- Seeks to identify and develop ways for the YDC/YFC to measure its effectiveness of services provided to youth while they're a facility as well as the impact of these services on youth upon their return to the community.

INTERPERSONAL RELATIONS/EQUAL EMPLOYMENT OPPORTUNITY (EEO)

For these standards, no more than (number) confirmed legitimate complaints in an annual rating period will be considered satisfactory performance. However, there may be instances where one offense is so egregious that it may result in an overall rating of unsatisfactory.

- Understands and adheres to Commonwealth, OCYF and BJJS policies and procedures related to interpersonal relations/Equal Employment Opportunity (EEO) requirements.
- Maintains a respectful attitude, behavior and focus on customer service when working with internal and external stakeholders.
- Displays a positive attitude, appropriate behavior and is customer service oriented when communicating with other employees, clients or the public orally and/or in writing
- Promotes a team concept within the central office and among the facilities that make up the YDC/YFC system.
- Performs his/her work in a manner that demonstrates that the opinions of the youth, employees and contractors working within the YDC/YFC system are valued and respected.
- Performs his/her work in a manner that is supportive of other employees/stakeholders and isn't disruptive and/or decreases their productivity.
- Avoids participating in rumor mills and/or other non-factual or disruptive interactions.

WORK HABITS

For these standards, no more than (number) confirmed legitimate complaints in an annual rating period will be considered satisfactory performance. However, there may be instances where one offense is so egregious that it may result in an overall rating of unsatisfactory.

- Arrives at work at or before his/her established start time and remains at work until or after his/her established quitting time.
- Adheres to established break and lunch periods.
- Demonstrates a willingness to adjust his/her work schedule based on the needs of the YDC/YFC system.
- Demonstrates the ability to make adjustments to his/her workload based on the changing needs of the YDC/YFC system.
- Request leave in accordance with BJJS's protocol and Commonwealth policy.
- Submits leave requests in ESS on the day of his/her request if it is made while he/she is at work. For leave requests made when the employee is not at work, requests are submitted in ESS on the first business day that he/she returns to work.
- Performs work in a manner that enhances the productivity of other employees and doesn't distract them.
- Ensures that the workplace is a safe and secure place for employees, clients and the public.
- Demonstrates the ability to serve as a lead worker and/or overall project manager for initiatives and/or projects prioritized by BJJS.
- Conducts investigations and completes the corresponding Report of Findings in accordance with BJJS policy and within the required timeframe.
- Promotes and supports the efficient and fiscally responsible use of Commonwealth equipment, to include identifying additional ways which the BJJS and YDC/YFC system could save additional funds.
- Employee is proactive in the approach taken to keep his/her immediate supervisor informed of issues that may delay the timely and accurate completion of assignments.
- Conducts him/herself in a professional manner that adheres to the Governor's Code of Conduct as well as reflects positively on the YDC/YFC system.

- Completes required mandatory annual trainings prior to the established deadline.
- In accordance with DPW, OCYF and BJJS policy and protocol, ensures the proper care and security of computers, files, documents, confidential information, supplies and other Commonwealth equipment and/or resources.
- Maintains work areas to be clean, clear, and free from all obstacles that could result in injury or impede job duties.

I have received and read my performance standards and have been given an opportunity to ask questions with my supervisor. I fully understand these standards and I agree to uphold them as part of my responsibilities. I also understand that these standards will be used to rate my performance on an annual basis and failure to uphold these standards can result in a “needs improvement or unsatisfactory” rating on my annual evaluation, which can result in disciplinary action in accordance to DPW Personnel Manual, Section 7174.

Print Employee’s Name

Employee’s Signature

Date

Print Supervisor’s Name

Supervisor’s Signature

Date

**Performance Standards
CHILDLINE CASEWORKER**

JOB KNOWLEDGE/SKILLS

- Demonstrates a working knowledge of the law and regulations including the Child Protective Services Law and Chapter 3490 regulations and is able to access, use and apply pertinent bulletins and policy clarifications.
- Gathers all available information from the referral source, conducts a preliminary risk and safety assessment, and searches the central register and pending complaint file to measure the validity and seriousness of the information in order to assess the risk/safety of the child/children.
- Demonstrates knowledge and ability to deal effectively with people regarding sensitive issues while at the same time gathering and documenting pertinent information.
- Demonstrates knowledge of current practices, procedures, and policies including information contained in the ChildLine Policy and Procedure Manual by doing the following:
 - Categorizing and properly assigning reports to the correct county/regional offices for investigation or referral as a report of suspected child abuse, general protective services, FYI, LEO, supplemental report, or complaint.
 - Accurately complete the prior history search based on information received during the initial report and again after the CY48 is received, with no more than three exceptions per year. Alleged exceptions will be reviewed by the supervisor to determine whether the exception was an error by the caseworker or the result of receiving incorrect information.
 - Properly refer reports orally and/or in writing at all times as instructed in the policy and procedure manual.
 - No Further Action (NFA) reports are documented per policy and procedure manual.
 - Route daycare complaints, abusive head trauma reports, LEO reports, and child fatalities and near fatalities through the assigned supervisor or designee.
 - Accurately follows policy and procedure regarding voids, release of information, registering reports, timely referral of abuse and non-abuse reports, emergency clearances, and all other specific guidelines as detailed in the ChildLine Policy and Procedure Manual, staff meetings, email directives, and supervisory consultations.
 - Research existing policies and procedures prior to seeking supervisory consultation.
- Demonstrates the ability to verbally explain policy and procedure to callers and supervisors, as well as offer recommendations regarding appropriate resolutions to presented issues.

- Shares information and knowledge to assist other staff to accomplish work assignments.
- Demonstrates the ability to understand and implement changes in law, regulations, policy clarifications, and the caseworker manual.
- Demonstrates the ability to efficiently and effectively use the ChildLine Millie System to enter information and reports into the system while simultaneously conducting an interview with the caller.
- Participates in a minimum of one training annually or when available, to expand skills and knowledge.
- Shares information gathered from meetings, trainings, and conferences through the sharing of file notes, soft or hard copies of information.

WORK RESULTS

- Records all information on the proper form in a complete, legible, and accurate manner. Appropriately states when information is not available.
- Documents information obtained during interviews and ensures information is thorough, accurate, strength-based, and justifies any action taken.
- Submits paperwork, reports, and special projects in an accurate, neat, and complete manner by the assigned due dates and times.
- Ensures that time spent taking phone calls shall be consistent with your hours of work. It is unacceptable to sign off and on the lines other than for lunch and breaks.
- Follows the sign-on and sign-off procedures to ensure the phone system does not force the employee out of rotation for a call. No more than 20 times per quarter where the caseworker shall not be forced out of the system, without valid reason.
- Spends an average time per call between ten minutes and fifteen minutes. Averages are calculated on a quarterly basis.
- Satisfactory use of ACDNR function between hotline calls is 25 times per month in addition to signing on and off the lines. It is considered acceptable to use the ACDNR button when going to the rest room, consulting with a supervisor when you cannot do so by telephone and registering multiple reports from one hotline call. In this situation the supervisor shall be notified that you are going off lines.
- Answers an average number of calls and processes CPS/Other reports; these are to be calculated on a yearly basis using calculations based on comparable shifts. The average number of calls with a deviation of +/- 5% will be considered-satisfactory. The same percentages shall be used for the number of reports (CPS/other) processed.

- Completes special and on-going assignments with no major errors and assigned due dates are met with minimal exceptions. Prior supervisory approval is necessary for an extension.
- Reviews CY48's for accuracy and processes within two working days of receipt. Exceptions shall be reviewed with your supervisor. Call backs to county agencies regarding CY48's shall be completed within two weeks.
- Resolves cases returned with blue notes from the Data Base Unit within two weeks.
- Evaluates processes for purpose of determining time management. Recommends ways to eliminate and/or streamline tasks and procedures where indicated.
- Uses Commonwealth property only in a safe, proper and authorized manner, per Commonwealth Polices.
- Demonstrates ability and willingness to share information with co-workers and callers as deemed appropriate and when needed.
- Demonstrates cultural awareness and responsiveness to others during interviews and the documentation of reports.

COMMUNICATIONS

- Responds to the public in a professional, helpful, and courteous manner, whether it is by telephone, email, or correspondence.
- Communicates effectively with and obtains information from hostile, anxious, upset, or reluctant callers in a professional, respectful, and sensitive manner.
- Communicates effectively with children, adjusting for the child's age and level of understanding during interviews to illicit as much information as possible to complete a report.
- Utilizes the services of an interpreter when needed to communicate with a caller.
- Conveys clear and concise information in both written and verbal communications.
- Conducts telephone interviews while maintaining control of the interview and gathers all relevant information/risk factors while maintaining a positive relationship with the reporter.
- Uses the appropriate forms and letters in conjunction with reports and complaints when needed. These forms and letters will be filled out in a legible and complete manner.
- Written reports and verbal communications shall be accurate, logically sequenced and thoroughly documented.

- Seeks clarification of instructions or additional information from supervisory personnel in order to complete work assignments, if needed.
- Explains all facets of complex situations in a concise and logical manner when a supervisor is consulted.
- Promotes a supportive work environment to foster teamwork, open communication and respect for diverse opinions and recommendations.
- Maintains confidentiality at all times, per the Child Protective Services Law.
- Responds to time sensitive emails by the requested response date.
- Updates supervisor about sensitive or urgent matters and provide regular updates, when necessary.

INITIATIVE/PROBLEM SOLVING

For these standards, consistently addressing existing situations will be considered as satisfactory performance. Preventing some situations from occurring and suggesting useable innovations will be considered commendable. Developing innovative ways to maximize resources to improve customer service and solving complex problems will be considered outstanding.

- Responds effectively to all calls, including those calls that are more complex and require investigative as well as problem solving skills.
- Identifies sources of problems, researches to recommend or take action to resolve issues by approaching supervisor with solutions.
- Performs necessary tasks and duties without specific direction.
- Requests and performs special/extra assignments with attention to detail.
- Seeks out ways to increase efficiency and effectiveness of the performance of job duties, making recommendations to supervisor that result in improvement to level of responsiveness, quality of work, or professionalism.
- Offers a resolution based on existing policy and procedure, when out of the ordinary circumstances are presented.

INTERPERSONAL RELATIONS/EQUAL EMPLOYMENT OPPORTUNITY (EEO)

For these standards, no more than (number) confirmed legitimate complaints in an annual rating period will be considered satisfactory performance. However, there may be instances where one offense is so egregious that it may result in an overall rating of unsatisfactory.

- Demonstrates willingness to function as a team player and cooperates with others on the completion of work requirements.
- Demonstrates ability to give and receive constructive criticism, accepts supervision and resolves conflicts.
- Recognizes the needs and sensitivities of others and treats others in a fair and equitable manner.
- Interacts effectively with peers and callers consistent with policies, procedures, and standards.
- Shows respect for the opinions of others, constructively discussing areas of disagreement.
- Inappropriate behaviors such as fighting, pushing, yelling, overt demonstration of extreme anger, threats, and non-professional language are not acceptable for the workplace.
- Employees do not mistreat or display a demeaning attitude or behavior (including inappropriate ethnic, race, religion, sexual orientation, gender jokes, and/or written/electronic material) in the work place toward another employee, client, or member of the public.
- Attend and participates in required training programs relative to equal opportunity, diversity, sexual harassment, and discrimination that will assist them in developing skills to facilitate working effectively with all persons.
- Reviews all required policies and procedures as set forth by the commonwealth, as well as any other policies and procedures for their individual department and bureau regarding interpersonal relations/Equal Employment Opportunity (EEO) requirements.
- Demonstrates knowledge of the Commonwealth's, Department's, and Bureau's policies and procedures by complying with all requirements.
- Understands how to identify cultural factors that may impact the delivery of services, including knowledge on how to access translator and language facilitator.

WORK HABITS

For these standards, no more than (number) confirmed legitimate complaints in an annual rating period will be considered satisfactory performance. However, there may be instances where one offense is so egregious that it may result in an overall rating of unsatisfactory.

- Displays a courteous and pleasant demeanor towards staff, contractors, peers, colleagues, and customers without inappropriately expressing displeasure or obvious dissatisfaction. Is mindful and respectful of individuals who may be able to hear your conversations or observe your behavior.
- Demonstrates appropriate noise levels while other staff are performing their work requirements.
- Adheres to established work hours for arrival and departure from work and rest periods. This includes other time-sensitive activities such as meetings and signing on the lines as per work schedule.
- Notifies supervisor in advance, when known, of issues or potential problems, planned absences or meetings that may compromise adequate staffing.
- Uses leave in accordance with established leave policy and does not misuse or abuse leave as per Leave Policy in the Policy and Procedure Manual.
- Maintains a record of reasonable use of paid sick leave, which does not indicate evidence of any distinct pattern or documented instances of failure to comply with Section 7173, controlling Absenteeism, Time, and Sick Leave Abuse.
- Provides acceptable documentation with the request for leave when sick leave is for three work days or more, and for other leave use requiring documentation. No instances occur in which employee fails to provide the required documentation.
- Effectively manages work shift time to ensure completion of work.
- Adapts positively to changing work requirements, establishes priorities and pursues appropriate means of accomplishing tasks.
- Maintains that work area is clean, clear, and free from obstacles that could result in injury or impede job duties.
- Behaves in an ethical manner and adheres to the Governor's Code of Conduct.
- Assists in maintaining common areas such as the break room, bathrooms, and kitchen areas.
- Shows consideration of other staff in the scheduling of meetings, adhering to time frames, and efficient conduct of business.

- Adheres to instructions for the safe operation and care of equipment.
- Demonstrates and ensures proper security measures for documents, sensitive/confidential information, and facility are followed according to prescribed procedures.
- Adheres to safety rules and regulations.
- Reports personal work-related injury/accident to the immediate supervisor according to prescribed agency procedures and timeframes.
- Adheres to agency-mandated policies when dealing with county and regional offices.
- Works in a strength based/solution focused approach with all duties and responsibilities.

I have received and read my performance standards and have been given an opportunity to ask questions with my supervisor. I fully understand these standards and I agree to uphold them as part of my responsibilities. I also understand that these standards will be used to rate my performance on an annual basis and failure to uphold these standards can result in a “needs improvement or unsatisfactory” rating on my annual evaluation, which can result in disciplinary action in accordance to DPW Personnel Manual, Section 7174.

Print Employee's Name

Employee's Signature

Date

Print Supervisor's Name

Supervisor's Signature

Date

Frequently Asked Questions

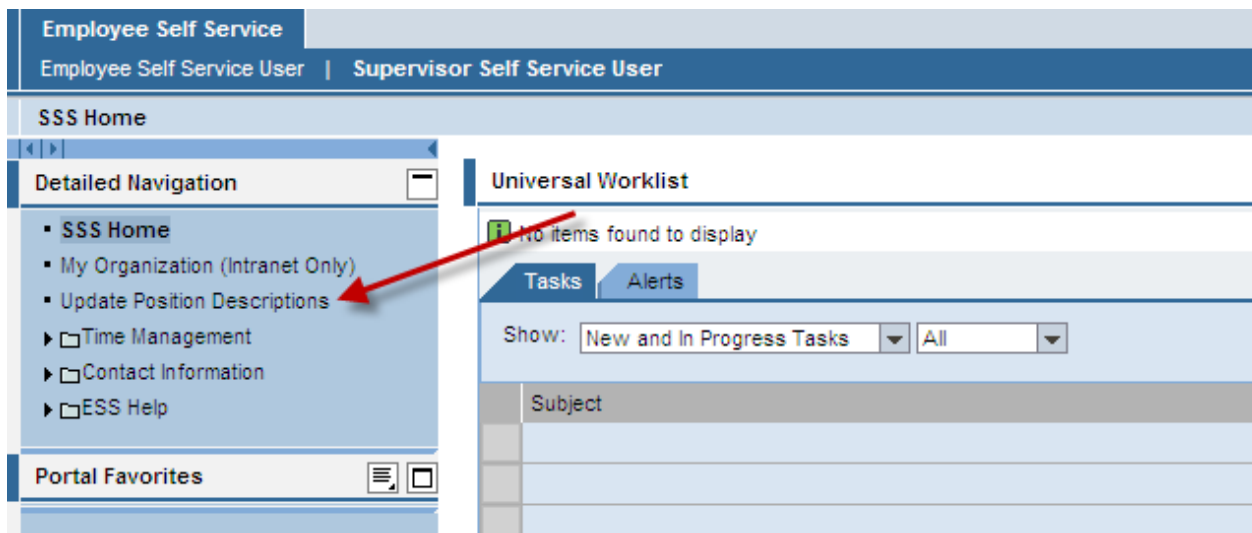
Q: Are employees new to a supervisory or managerial role required to attend specific trainings?

A: Yes. Newly appointed supervisors and managers must complete certain mandatory trainings. In addition, the commonwealth offers advanced courses for seasoned managers, as well as learning opportunities for employees who aspire to be future leaders. For additional information, proceed to the following link: <http://www.portal.state.pa.us/portal/server.pt?open=514&mode=2&objID=754898>

Q: Is a position description always current once I enter or update it in ESS?

A: No. Position descriptions and performance standards should be reviewed annually by supervisory personnel and employees. In addition, on an annual basis, position descriptions should be updated and activated. The portal for this process can be found under the supervisory tab and “update position descriptions” tab in ESS.

Additional Information:



Q: As a supervisor, am I responsible to provide my new subordinate with an orientation or is that done by Human Resources?

A: To ensure that all new employees receive proper orientation, both supervisors and Human Resources (HR) have responsibilities related to providing employees an orientation. Standardized checklists and related items must be discussed, distributed, and/or completed and collected with employees by agency HR staff and supervisor within five (5) work days of the employee’s appointment date. For additional information and checklists, proceed to the following links:

Human Resources New Employee Orientation Check List:

<https://erc.enwisen.com/Hr/CofPA/Posts/91d71c3a-feb3-40d6-9b82-3d6628f5084e.pdf>

Supervisor New Employee Orientation Check List:

<https://erc.enwisen.com/Hr/CofPA/Posts/962c7361-95e5-4e99-8a5d-4d8f08c9c8ee.pdf>

Q: Does ESS have additional information related to how to perform my supervisory duties?

A: Yes.

Additional Information:



Q: Where can I find a copy of the most current Management Directives, Administrative Circulars, and Administrative Manuals?

A: The Commonwealth maintains a website with the most current versions of these documents. Proceed to the following link and choose from the left-hand column:

http://www.oa.state.pa.us/portal/server.pt/community/records_directives/484

Q: As a supervisor, do I have to create all of the forms or documents as I work with my subordinates to enhance their areas of strength or those in need of improvement?

A: No. Forms, such as those listed below, can be found on the Commonwealth's "myworkplace".

- Employee Performance Improvement Plan
- Individual Development Plan
- Self-Initiated Progress Reports
- Employee Performance Standards Planning Form

For additional information, proceed to www.oa.state.pa.us. On the left-hand side of the page, select Human Resources, then Training & Development, then Development.

The screenshot shows a web browser window with the URL <http://www.oa.state.pa.us/portal/server.pt/community/development/20206>. The page title is "Employee Development". The left navigation menu includes: OA Home, Information Technology, Human Resources, Benefits, Classification & Compensation, Employee Relations, Equal Employment, Hiring & Separation, Leave, Organization Management, Training & Development, Training, Development (highlighted), Policies, Performance Reviews, Workplace Support, and Executive Offices - Office of Human. The main content area has a breadcrumb trail: "Human Resources > Training & Development". Below this, the page is divided into sections: "Evaluating Performance" and "Developing Employee Skills". The "Developing Employee Skills" section lists several programs: Keystone Academy for Learning, Leadership Development Institute, Commonwealth Mentoring Program, and Emerging Leaders Program. There is also a link to the Human Resource Management Trainee (HRMT) Program.

Q: How does the position description, performance standards, and the employee performance review relate to one another?

A: The position description is a document that states the specific job duties for each position; the performance standards is a document that lists the expectations on how to complete those job duties; and the employee performance review is a document that is completed on an annual basis to evaluate how an employee performs their job duties, given the expectations.

Q: When a supervisor has a new subordinate, when are performance standards provided to the employee?

A: Within five (5) working days from the start date, the supervisor needs to review the position description and the performance standards with the employee. During this conversation, the employee needs to be informed of their probationary status (if applicable) and/or employee performance review process.

Q: What is the new process and rating period for employee performance evaluations?

A: Effective January, 2012, the Office of Administration has changed the employee performance review cycle. The rating period now runs concurrent with the calendar year, January 1st to December 31st. The original EPR form (once signed by all appropriate parties) gets forwarded to OCYF's Human Resources contact, while the employee and supervisor each retain a copy. A progress review form should be done midway through the rating period. This form only gets retained by the supervisor for his/her files. For those employees on probation, a probationary EPR needs to be completed after the first six months; then the employee gets put on the new schedule, as described above. If you have a different situation than described above, contact your Human Resources program representative.

Q: When does an interim evaluation get completed for an employee?

A: An interim evaluation can be completed for an employee anytime during the rating period. These are usually completed after the supervisor has discussed declining job performance with an employee and the job performance does not get better. The first interim evaluation is for a 90-day time period; the second interim evaluation is for a 60-day time period; and the third interim evaluation is for a 30-day time period. If you reach the 60-day time period, contact your Labor Relations Coordinator.

Q: When does an Employee Performance Improvement Plan need to be completed and how often?

A: An Employee Performance Improvement Plan gets completed when an employee receives either an overall unsatisfactory evaluation rating. These are completed along with the interim evaluations, as described above.

Q: How often does a supervisor need to monitor an employee's performance?

A: A supervisor should monitor an employee's performance as often as needed. For employees with no job performance issues, a supervisor should at least meet on a quarterly basis (monthly, if necessary). For employees with job performance issues, a supervisor should meet as often as possible and if need be, follow the guidelines under the interim evaluation question.

Q: How does a supervisor extend a probationary period?

A: See the DPW Performance Management Handbook, Probationary Period section, page 17.

PERFORMANCE STANDARDS TOOLS AND TRAININGS AVAILABLE TO SUPERVISORS/MANAGERS

OFFICE OF ADMINISTRATION (OA) WEBSITE www.oa.state.pa.us:

Classroom Trainings:

On OA's main website, follow this path:

- Human Resources on the left-hand side
- Training and Development
- Keystone Academy for Learning (KAL)

The OA website offers additional resource, such as EPR forms, documents, and training powerpoints.

E-LMS (Electronic Learning Management System) <https://lms.state.pa.us>:

- Employee Performance Review System – mandatory
- Fundamentals of Supervision – mandatory
- Employee Performance Review Refresher – for those that have already attended the EPR System training

Office of Children, Youth & Families
Employee Performance Standards Planning Form

Employee _____ Supervisor _____

Job Title _____ Agency/Organization _____

EPR Cycle Begin Date _____ EPR Cycle End Date _____

Priority	Key Activity or Responsibility	Performance Standard
Job Knowledge		
Work Results		
Communications		
Initiative / Problem Solving		
Interpersonal Relations / Equal Employment Opportunity (EEO)		
Work Habits		
Supervision / Management (required for supervisors)		

Employee Signature _____ Date _____

Supervisor Signature _____ Date _____

Instructions for Employee Performance Standards Planning Form

The Performance Standards Planning Form is initiated by supervisors to establish performance standards at the beginning of the Employee Performance Review (EPR) cycle. The intent is to translate the organization's strategic goals into performance standards to be accomplished by the employee. Supervisors are advised to consult with employees to set challenging performance standards that the employee is committed to achieving. It is best if the supervisor does not simply impose goals on employees.

To complete the Performance Standards Planning Form:

Step 1: Fill out the heading information, including employee and supervisor names, job and agency data, and the beginning and ending dates of the EPR cycle.

Step 2: Determine the primary tasks to be accomplished by the employee in support of the organization's strategic goals. List tasks in the "Key Activity or Responsibility" column, sorted by category (Job Knowledge, Work Results, etc.). List no more than one task per line. Unused lines should be marked "N/A."

Step 3: For each task, identify how the task will be measured, and the acceptable level of performance. List this information in the "Performance Standard" column.

Step 4: For each task, identify the relative priority of the task. Highest priority will be 1; next highest priority will be 2; etc. List this information in the "Priority" column.

Example

Priority	Key Activity or Responsibility	Performance Standard
2	A. Resolve customer service inquiries	within 48 hours of receipt
5	B. Prepare weekly progress report	with no more than 2 errors

Step 5: Discuss the performance standards with the employee. Have the employee sign and date the document.

Step 6: Sign and date the document. Make a copy for your files, and give the original to the employee.

EMPLOYEE PERFORMANCE REVIEW

363L (Rev. 8/2011)

[EPR Links Document](#)

GENERAL INFORMATION	TYPE REPORT <input type="checkbox"/> PROBATIONARY <input type="checkbox"/> INTERIM <input type="checkbox"/> ANNUAL		
EMPLOYEE NAME	AGENCY	PERSONNEL NUMBER	
CLASS TITLE	<input type="checkbox"/> SUPERVISOR <input type="checkbox"/> NON-SUPERVISOR	<input type="checkbox"/> CIVIL SERVICE <input type="checkbox"/> NON-CIVIL SERVICE	<input type="checkbox"/> UNION <input type="checkbox"/> NON-UNION
ORGANIZATION	RATING PERIOD	FROM	TO
SUPERVISOR NAME	SUPERVISOR POSITION NUMBER		

GENERAL INSTRUCTIONS

- Verify/complete General Information.*
- Review with the employee the employee's position description, performance standards (expectations/objectives/duties) for the evaluation period to ensure the appraisal relates to the specific responsibilities, job assignments, and standards that were conveyed to the employee for the evaluation period.*

[On-line Position Description Application](#)
- Base the appraisal on the employee's performance during the entire evaluation period, not isolated incidents or performance prior to the current evaluation period. Obtain/review necessary input and supporting data.*
- Rate each factor in relation to the standards established and the guidelines listed on the form.*
- Provide an overall rating based on the rating of the individual factors, adherence to significant performance standards, and accomplishment of essential functions. Each factor need not be of equal weight but comments should justify significant differences impacting on the overall rating.*
- Assess employee strengths and identify opportunities where the employee could improve or requires additional knowledge or skill. Include projected development needs to meet anticipated assignments during the next evaluation period. Obtain employee input regarding their training needs. When rating employees, consider their participation and willingness to participate in employee development opportunities.*
- The comments sections should be used to: support performance ratings, indicate problem areas, and provide guidance to employees on how to improve performance. Comments MUST be provided for all ratings given. Supervisor, reviewing officer, and employee comments are to be relevant and job related. (Additional comments for any sections should be placed on Page 5 of this form if completing the form electronically or by attaching additional 8 1/2 by 11 paper in similar format.)*
- Discuss/obtain comments and signature/date of reviewing officer before discussion with employee.*
- Sign/date the form, meet with employee to discuss the rating, and obtain the employee's signature/date/comments. Arrange for reviewing officer discussion if requested.*
- Update with the employee position description, essential job functions, and performance standards/objectives for the next evaluation period.*

COMMUNICATION OF PERFORMANCE STANDARDS

Indicate when you conveyed performance standards to the employee and when progress review(s) was conducted:

1. Performance standards (objectives, duties, expectations, etc.) for this evaluation period were conveyed to employee on _____.
 date(s)
2. Progress Review(s) was conducted on _____ (at least one during rating period).
 date(s)

EMPLOYEE NAME:	PERSONNEL NUMBER:
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JOB FACTORS

1. **JOB KNOWLEDGE/SKILLS** Measures employee's demonstrated job relevant knowledge and essential skills, such as work practices, policies, procedures, resources, laws, customer service, and technical information, as well as the relationship of work to the organization's mission. Also measured are the employee's self-improvement efforts to enhance skills and knowledge and to stay current with changes impacting the job.

OUTSTANDING <input type="checkbox"/>	COMMENDABLE <input type="checkbox"/>	SATISFACTORY <input type="checkbox"/>	NEEDS IMPROVEMENT <input type="checkbox"/>	UNSATISFACTORY <input type="checkbox"/>
<ul style="list-style-type: none"> • Possesses superior job skills and knowledge; effectively applies them to work assignments. • Willingly mentors staff; shares knowledge. • Seeks/applies innovative and relevant techniques. 	<ul style="list-style-type: none"> • Work reflects thorough and current knowledge/skill of job and impact on agency activities/related resources. • Uses opportunities to expand knowledge/skills, sharing information with staff. 	<ul style="list-style-type: none"> • Work reflects adequate knowledge/skills for job. • Has some knowledge of related work. • Stays current with major changes impacting on knowledge or skill. • Accepts change. 	<ul style="list-style-type: none"> • Often demonstrates a lack of basic or sufficient job knowledge/skills to perform routine functions of the job. • Occasionally is resistant to changing knowledge and/or skill requirements or processes, including opportunities for knowledge/skill enhancement. 	<ul style="list-style-type: none"> • Consistently demonstrates a lack of basic job knowledge and/or skills to perform job. • Rarely takes advantage of available skill enhancement or training opportunities. • Often is resistant to changing requirements.

Comments:

2. **WORK RESULTS** Measures employee's results in meeting established objectives/expectations/standards of quality, quantity, customer service, and timeliness both individually and in a team.

OUTSTANDING <input type="checkbox"/>	COMMENDABLE <input type="checkbox"/>	SATISFACTORY <input type="checkbox"/>	NEEDS IMPROVEMENT <input type="checkbox"/>	UNSATISFACTORY <input type="checkbox"/>
<ul style="list-style-type: none"> • Work consistently exceeds expectations of quality, quantity, customer service, and timeliness. 	<ul style="list-style-type: none"> • Work frequently exceeds expected quality, quantity, customer service, and timeliness standards. 	<ul style="list-style-type: none"> • Work usually meets expectations of quality, quantity, customer service, and timeliness. 	<ul style="list-style-type: none"> • Often has difficulty meeting expected quality, quantity, customer service, and/or timeliness standards. 	<ul style="list-style-type: none"> • Consistently fails to meet expected quality, quantity, customer service, and/or timeliness standards.

Comments:

3. **COMMUNICATIONS** Measures employee's performance in exchanging information with others in an effective, timely, clear, concise, logical, and organized manner. Communications include listening, speaking, writing, presenting, and sharing of information. Consideration is given to client/data complexity/sensitivity.

OUTSTANDING <input type="checkbox"/>	COMMENDABLE <input type="checkbox"/>	SATISFACTORY <input type="checkbox"/>	NEEDS IMPROVEMENT <input type="checkbox"/>	UNSATISFACTORY <input type="checkbox"/>
<ul style="list-style-type: none"> • Consistently communicates in clear, effective, timely, concise, and organized manner. • Is articulate and persuasive in presenting, soliciting complex or sensitive data. 	<ul style="list-style-type: none"> • Frequently communicates in an effective, timely, clear, concise, and organized manner. • Proficiently organizes and presents difficult facts and ideas orally and in writing. • Seeks/provides feedback. 	<ul style="list-style-type: none"> • Usually communicates effectively and exchanges relevant information in a timely manner. • Speaks and writes clearly. • Keeps others informed. • Listens with understanding. 	<ul style="list-style-type: none"> • Often fails to communicate effectively or in a timely manner. • Lacks clarity of expression orally or in writing. • Is inconsistent in keeping others informed. • At times, fails to listen effectively. 	<ul style="list-style-type: none"> • Consistently fails to communicate effectively or timely. • Often does not keep others informed. • Is an ineffective listener and/or frequently interrupts.

Comments:

4. **INITIATIVE/PROBLEM SOLVING** Measures the extent to which the employee is self-directed, resourceful, and creative in performing job duties individually or in a team. Also measures employee's performance in identifying and resolving problems; following through on assignments; and initiating or modifying ideas, methods, or procedures to provide improved customer service, redesign business processes, and accomplish duties.

OUTSTANDING <input type="checkbox"/>	COMMENDABLE <input type="checkbox"/>	SATISFACTORY <input type="checkbox"/>	NEEDS IMPROVEMENT <input type="checkbox"/>	UNSATISFACTORY <input type="checkbox"/>
<ul style="list-style-type: none"> • Consistently resolves unit/team problems and promotes improvements. • Maximizes resources, innovation/technology to streamline/improve. • Analyzes full dimension of complex problems. • Requires minimal supervision. 	<ul style="list-style-type: none"> • Prevents/resolves unit/team problems. • Suggests innovations to improve operations or streamline procedures. • Defines and analyzes complex problems. • Develops/implements solutions with moderate supervision. 	<ul style="list-style-type: none"> • Addresses existing and significant potential problems. • Suggest or assists in developing solutions individually or in a team. • Carries through solution implementation with routine supervision or follow-up. 	<ul style="list-style-type: none"> • Resolves routine problems. • Exhibits little initiative in identifying problems, solutions, or improvements and/or working proactively as part of a team to address issues of concern. • Requires more than routine supervision. 	<ul style="list-style-type: none"> • Consistently fails to recognize or seek help in resolving routine problems. • Demonstrates inability to work individually or in a team. • Rarely suggests improvements. • Requires frequent reminders and supervision.

Comments:

EMPLOYEE NAME:	PERSONNEL NUMBER:
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5. **INTERPERSONAL RELATIONS/EQUAL EMPLOYMENT OPPORTUNITY (EEO)** Measures employee's development and maintenance of positive and constructive internal/external relationships. Consideration should be given to the employee's demonstrated willingness to function as a team player, give and receive constructive criticism, accept supervision, resolve conflicts, recognize needs and sensitivities of others, and treat others in a fair and equitable manner. Supervisors and team leaders also are to be assessed on their demonstrated commitment to Equal Employment Opportunity, diversity and proactive actions to prevent/address all forms of discrimination.

OUTSTANDING <input type="checkbox"/>	COMMENDABLE <input type="checkbox"/>	SATISFACTORY <input type="checkbox"/>	NEEDS IMPROVEMENT <input type="checkbox"/>	UNSATISFACTORY <input type="checkbox"/>
<ul style="list-style-type: none"> Consistently promotes and maintains a harmonious/productive work environment. Is respected and trusted and often viewed as a role model. Actively promotes EEO/diversity programs. 	<ul style="list-style-type: none"> Frequently fosters teamwork, cooperation, and positive work relationships. Handles conflict constructively. Promotes and adheres to EEO/diversity program requirements. 	<ul style="list-style-type: none"> Usually interacts in a cooperative manner. Avoids disruptive behavior. Deals with conflict, frustration appropriately. Treats others equitably. Adheres to EEO/diversity program requirements. 	<ul style="list-style-type: none"> Often has difficulty getting along with others. Allows personal bias to affect job relationships. Requires reminders regarding needs and sensitivities of others. Inconsistently adheres to EEO/diversity program requirements. 	<ul style="list-style-type: none"> Interpersonal relationships are counter-productive to work unit or team functions. Often ignores EEO/diversity program requirements.

Comments:

6. **WORK HABITS** Measures employee's performance relative to efficient methods of operation, customer service, proper conduct, speech ethical behavior, and Commonwealth/agency/work unit policies and procedures, such as attendance, punctuality, safety, security, proper care and maintenance of assigned equipment, and economical use of office supplies.

OUTSTANDING <input type="checkbox"/>	COMMENDABLE <input type="checkbox"/>	SATISFACTORY <input type="checkbox"/>	NEEDS IMPROVEMENT <input type="checkbox"/>	UNSATISFACTORY <input type="checkbox"/>
<ul style="list-style-type: none"> Work reflects maximum innovative use of time and resources to consistently surpass expectations and improve operations. Serves as a role model with regard to work policies and safety standards. 	<ul style="list-style-type: none"> Frequently plans/organizes work to timely and effectively accomplish job duties with appropriate use of resources. Suggests/implements improvements and exceeds organizational work/safety rules and standards. 	<ul style="list-style-type: none"> Work is planned to meet routine volume and timeliness and usually fulfills operational and customer service needs. Adheres to organizational work policies/safety rules and procedures with few exceptions. 	<ul style="list-style-type: none"> Frequently lacks organization and planning of work and does not adequately use available resources. Often does not meet standards in complying with work policies/safety rules and/or care of equipment. 	<ul style="list-style-type: none"> Consistently fails to meet expected standards due to lack of effective organization, use of equipment/resources, or inattention to customer service needs. Resists established work policies/safety rules and procedures.

Comments:

7. **SUPERVISION/MANAGEMENT** (Required for all supervisors/managers) Measures leadership, judgment, initiative, and achievement of expectations. Effectively manages program/projects, employees, budget, technology, and organizational change to produce positive results. Engages in strategic planning and measurement, performance management, teamwork, staff development, and recognition of accomplishments. Promotes customer service, diversity, inclusiveness, collaboration, effective communication, and positive labor/management relations. Uses innovation and fulfills administrative requirements.

OUTSTANDING <input type="checkbox"/>	COMMENDABLE <input type="checkbox"/>	SATISFACTORY <input type="checkbox"/>	NEEDS IMPROVEMENT <input type="checkbox"/>	UNSATISFACTORY <input type="checkbox"/>
<ul style="list-style-type: none"> Regularly exceeds expectations. Implements innovative policies, resources, and technology to maximize efficiency and service. Committed to and promotes excellence; leads by example energizing performance and teamwork. Uses and encourages creative decisions and solutions. Acts a positive change agent. 	<ul style="list-style-type: none"> Meets and frequently exceeds expectations. Improves efficiency and customer service. Provides staff with innovative and constructive direction, delegation, feedback, mentoring, and recognition. Adheres to performance management/administrative policies. Makes sound decisions. Promotes and maintains teamwork, inclusiveness, respect, and creativity. 	<ul style="list-style-type: none"> Meets most expectations timely and effectively. Maintains acceptable efficiency and customer service. Provides staff necessary direction, feedback, development, and recognition. Makes decisions that usually reflect sound judgment. Usually adheres to administrative policies. Encourages innovation, teamwork, and inclusiveness. 	<ul style="list-style-type: none"> Often fails to meet expectations timely and effectively. Efficiency and customer service occasionally fall below standards. Inadequately directs, trains, monitors, and recognizes staff. Inadequately fulfills administrative and performance management functions. Often lacks good judgment in decisions. Lacks leadership in promoting innovation, teamwork, and inclusiveness. 	<ul style="list-style-type: none"> Consistently fails to meet expectations timely or effectively. Delivers unacceptable customer service or operational efficiency. Disregards or ineffectively provides staff direction, monitoring, and development. Often ignores performance management or administrative policies. Is indecisive or lacks good judgment. Resists change.

Comments:

EMPLOYEE NAME:	PERSONNEL NUMBER:
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OVERALL RATING

INSTRUCTIONS: Provide an overall rating based on the rating of the individual factors, adherence to significant performance standards, and accomplishment of essential functions. This rating provides an overall impression of job performance that is *supported* by the job factor ratings, not necessarily an *average* of those ratings. Thus, each factor need not be of equal weight but comments should justify significant differences on the overall rating.

OUTSTANDING <input type="checkbox"/>	COMMENDABLE <input type="checkbox"/>	SATISFACTORY <input type="checkbox"/>	NEEDS IMPROVEMENT <input type="checkbox"/>	UNSATISFACTORY <input type="checkbox"/>
<ul style="list-style-type: none"> Employee consistently and significantly exceeds job expectations and standards and demonstrates a high degree of initiative, customer service, and quality of work. 	<ul style="list-style-type: none"> Employee meets and frequently exceeds job expectations and standards and demonstrates a high degree of initiative, customer service, and quality of work. 	<ul style="list-style-type: none"> Employee meets the expectations and standards of the employee's job in a fully adequate way. 	<ul style="list-style-type: none"> Employee meets many of the expectations of the job in a satisfactory manner but often fails to adequately meet some of the expectations or standards. Improvement is required. 	<ul style="list-style-type: none"> Employee fails to meet many job expectations and standards. Performance deficiencies must be corrected.

Overall Comments:

EMPLOYEE STRENGTHS: (Identify strong attributes, abilities, or proficiency in an area, to maximize the employee's contribution to the organization in utilizing these abilities and skills and to identify potential mentor relationships.)
Comments:

OPPORTUNITIES FOR DEVELOPMENT: (Identify knowledge, skills, and abilities that may need improvement. Address developmental activities to assist the employee in addressing either areas of concern or opportunities for professional growth.)
Comments:

Rater's Signature:	Date:
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REVIEWER'S COMMENTS

Comments:

Reviewer's Signature:	Date:
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EMPLOYEE'S COMMENTS

I AGREE WITH THIS RATING
 I DISAGREE WITH THIS RATING
 I WOULD LIKE TO DISCUSS THIS RATING WITH MY REVIEWING OFFICER
 DISCUSSION WITH MY REVIEWING OFFICER OCCURRED _____
(DATE)
 I ACKNOWLEDGE THAT I HAVE READ THIS REPORT AND I HAVE BEEN GIVEN AN OPPORTUNITY TO DISCUSS IT WITH THE EVALUATOR; MY SIGNATURE DOES NOT NECESSARILY MEAN THAT I AGREE WITH THE REPORT.

Comments:

Employee's Signature:	Date:
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EMPLOYEE NAME:	PERSONNEL NUMBER:
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ADDITIONAL RATER COMMENTS

(Space will open as you type)

<u>JOB KNOWLEDGE/SKILLS:</u>
<u>WORK RESULTS:</u>
<u>COMMUNICATIONS:</u>
<u>INITIATIVE/PROBLEM SOLVING:</u>
<u>INTERPERSONAL RELATIONS/EQUAL EMPLOYMENT OPPORTUNITY:</u>
<u>WORK HABITS:</u>
<u>SUPERVISION:</u>
<u>OVERALL RATING:</u>
<u>EMPLOYEE STRENGTHS:</u>
<u>OPPORTUNITIES FOR DEVELOPMENT:</u>

ADDITIONAL REVIEWER'S COMMENTS

ADDITIONAL EMPLOYEE'S COMMENTS