

Performance Management

Performance Evaluation System (PES) Handbook

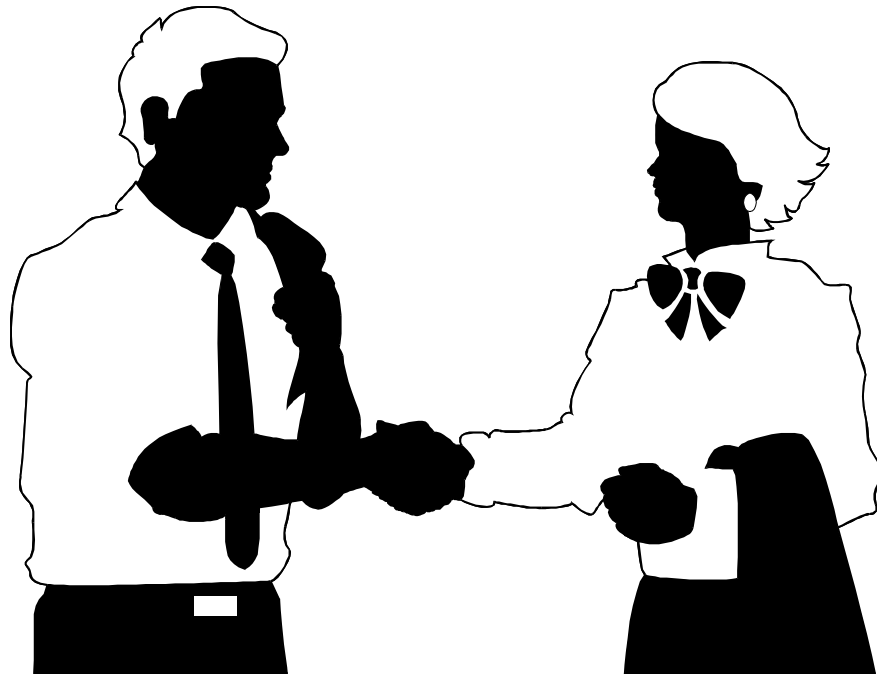


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SECTION 1

Overview

The important work of State Government done on behalf of the people of New Jersey is accomplished through the individual and team efforts of State employees. To do their best, employees need to understand the mission and goals of their department or agency and how their work fits into the overall organization. Employees need to know that their efforts matter and that they will be recognized and acknowledged for their work. Overseeing performance and providing feedback are not isolated events, but are ongoing processes throughout the year.

It is important that employees understand the purpose and the process for the PES Program. The program provides an excellent opportunity for employees and supervisors to communicate about the employee's performance, job satisfaction and plans for the employee's future performance. Performance Management, through the PES program, is a critical process used to define, assess and enhance employee performance, operational outcome and results. It helps employees understand organizational goals and their roles in achieving those goals and serving the State.

The PES Handbook was created to give the user an overall understanding of the PES program, one of the performance appraisal programs in New Jersey state government. While not designed to be all-inclusive of performance appraisal programs, the handbook should be utilized as a tool to assist those who are Raters, Ratees and Reviewers with the PES process.

Feedback is an essential component of the assessment process. Every step in the process relies on communication between the employee being rated and the employee conducting the assessment. Good news is usually easy to deliver and receive. However, it is often difficult to deliver perceived bad news, if the employee being rated is not performing up to expectations. It is essential that that employee be given that information as soon as possible and that every effort is made to assist the employee in correcting performance concerns.

Training and mentoring are also integral parts of the assessment program. As in other efforts, results are improved if everyone knows what is expected. Thus, not only is it important for the employee conducting the assessment to identify the specific type of training that is needed to improve the performance of the employee being rated, it is important for that employee to know how assist in developing and implementing the plan of action in conjunction with the employee being rated.

Documentation is essential to the PES program. The forms provided by the Department of Personnel (DOP) are designed to record and support the assessment process. Each department should make every effort to fully ensure the completion of the document, within the assigned rating cycle requirements.

Each department is expected to monitor the various aspects of the PES program within its agencies and divisions, take corrective actions when necessary, and reach out for assistance when needed. The DOP Office of Performance Management will conduct periodic audits of performance assessment documents to monitor the PES program.

SECTION 2

Features of the Program

The PES Program is a pass/fail assessment tool designed to give supervisors and managers structure in evaluating the performance of subordinates and to emphasize employee development. The PES Program requires a meeting at which employees receive a performance plan within a reasonable time after the start of the rating cycle, first appointment (date of hire), change in supervisor, or promotion; that a meeting be conducted encompassing the first 6 months of the rating cycle at which time an interim evaluation is completed; and that a meeting be conducted encompassing the entire 12 months of the rating cycle at which time a final evaluation is completed. At each stage of the process, the Rater is expected to justify the ratings in behavioral terms, i.e., what actions did the Ratee take, what results or outcomes were observable. In addition, the Rater is expected to put forth a development plan for the employee.

Benefits of the PES Model

- Job Expectations will be clearly identified and therefore achieved
- Like performance will be rated similarly
- Communication between the Rater and Ratee will take place

The PES model uses Individual Job Responsibilities, Standards for Satisfactory Performance, pre-determined Universal Performance Factors, and Examples of Satisfactory Performance. As a result, participants in comparable work environments are rated using the same instrument, thereby increasing the likelihood that similar behavior will be rated accordingly.

The structure of the model facilitates key face-to-face conversations between the Rater and Ratee, as well as sign-off by Ratee, Rater, and Reviewer. The form also allows for the inclusion of comments by the Ratee. The form successfully sets the stage for appropriate communication between the parties.

The timeframes established for the PES process in each department are dependent on the business needs of that department. This standardized rating cycle is tied into the mission and goals of the department as a whole rather than individual anniversary dates that were unrelated to business objectives. With the standardized rating cycles, supervisors, managers, and employees know when ratings are due and everyone can participate in the process of reminding one another that ratings are due.

The Satisfactory/Unsatisfactory (Pass/Fail) Rating System

The pass/fail rating system has the following anchors: **Satisfactory and Unsatisfactory**. The definitions are shown in **Appendix A**. When rating the performance of a Ratee, the Examples of Satisfactory Performance should be consulted to ensure that any previous conceptions of the terms do not impact on the rating given. One should be careful not to allow any preconceived notions to guide how performance is rated under this system.

PES Rules

The rules that guide the Performance Evaluation System (PES) Program can be found in Article 16 of the CWA contract, Article 41 of the IFPTE Contract, and Article 11 of the AFSCME Contract. There are several key points addressed in these rules:

- Two level rating system
- The establishment of promotional points based on the PES rating: 1 point for a "Satisfactory" Rating, 0 points for an "Unsatisfactory" Rating,
- Appeal by an employee, or the employee's designated Union representative, of an Unsatisfactory rating to arbitration

EEO Implications

As with other employment decisions, the Performance Evaluation System (PES) process is subject to the criteria established by the Federal EEOC for adverse impact. It is the responsibility of the Affirmative Action Officers to investigate claims of discrimination and to bring these to the attention of the Director, EEO/AA, Department of Personnel.

ADA considerations are important in the PES process. Reasonable accommodations that are required under the provisions of the ADA laws should not be ignored when the PES documents are established.

SECTION 3

Performance Sessions / Meetings

There are three basic steps in the PES process.

The first step of the process, the Initial Meeting, takes place at the beginning of the rating cycle when the employee and supervisor review the Job Expectations and Evaluation section of the form for the position. This is the appropriate time for the Rater and Ratee to discuss the Individual Job Responsibilities and Universal Performance Factors, and clarify the Standards for Satisfactory Performance and Examples of Satisfactory Performance by which the employee will be measured at both the Interim and Final Evaluations.

The second step, the Interim Assessment, occurs six months into the rating cycle. The purpose of the Interim Assessment is to give Ratees an indication of their progress and establish development plans halfway through the rating period. Although this rating is not recorded in the Performance Assessment database as an action item, it is a required part of the PES process. This step facilitates communication about performance, assists in ensuring that there are no surprises at the final evaluation, and is part of the evidence utilized to sustain actions based on performance ratings. This is also the time to review goals and/or job responsibilities, making appropriate changes as necessary.

The third step, the Final Assessment, occurs at the end of the rating cycle and is an evaluation of overall performance for the entire rating cycle. At this time a development plan addressing skills and competencies identified for improvement should be established. The Final Assessment rating is recorded in the employee's record and is the rating that triggers or supports the other personnel actions associated with the PES.

Although there are three required meetings during the PES cycle, it is incumbent upon the Rater to meet with the Ratee and provide feedback on a frequent basis to confirm that the objectives of the individual and unit are being met.

Three Main Participants in the PES Process

The Ratee is the employee for whom the evaluation is being done. Everyone is a Ratee. This person is the focus of the assessment. As in any other communication process, there must be an exchange of ideas in the PES process. Both the Ratee and the Rater are responsible for working together in the development of job expectations and the provision of open and honest feedback about job expectations, the interim and final assessments and the development plan.

The Rater is the immediate supervisor of the Ratee. Immediate supervisor is defined as the person who receives and/or dispenses the work. The Rater has the responsibility of conducting the performance assessment and giving open and honest feedback to the Ratee about performance throughout the rating cycle.

In those instances where an individual receives work from more than one supervisor, it is recommended that one supervisor take the lead and coordinate all work assignments. At the end of the rating cycle, the supervisors meet to discuss how their work was handled and arrive at a consensus about the rating. It is advisable in this situation for all those who give work to an employee, to give feedback at various times during the rating cycle. This can be done either through the coordinator or in person.

The Reviewer is the Rater's supervisor (or manager) and is responsible for ensuring appropriate administration of the PES Process. Reviewers are also responsible for setting goals and expectations for the organization, unit or division. The Reviewer is strongly encouraged to take an active role in all parts of the PES process. This may include managing performance management meetings and conflict resolution meetings. It is highly recommended that Raters meet with Reviewers prior to conducting interim or final assessment meetings with their Ratees. The Reviewer should be comfortable with the ratings assigned based upon the performance of the unit and the organizational results achieved. The major role of the Reviewer is to check for consistency in the PES process.

In summary, then, there are three parties involved:

- Ratee:** The employee being rated
- Rater:** The immediate Supervisor who receives and/or assigns the work.
- Reviewer:** The Rater's supervisor or manager

SECTION 4

PES Model Components

- **Job Expectations and Evaluation Section**
 - Major Goals of the Unit/Work Group
 - Major Goals of the Ratee
 - Individual Job Responsibilities and Standards for Satisfactory Performance
 - Universal Performance Factors and Examples of Satisfactory Performance
 - Initial Certification
 - Initial Meeting
- **Interim/Final Rating Section**
 - Interim/Final Significant Events
 - Interim/Final Justification
 - Interim/Final Development Plan
 - Interim/Final Certification

Job Expectations and Evaluation Section

The overall purpose of the Job Expectations and Evaluation Section is to define the employee's job in relation to the mission of the organization and provide a clearly-defined mechanism for evaluation.

Major Goals of the Unit/Work Group

In developing the Major Goals of the Unit Work/Group, review the mission of the department and any statutory or regulatory authority creating the department or unit. Those documents will assist in defining the purpose and objectives of the unit and identifying the desired state of affairs toward which the organization and individual are working. This component is typically pre-defined by the organization's management.

Major Goals of the Ratee

The Major Goals of the Ratee specify the work-related goals or objectives of the Ratee. The identification of Major Goals is significant because it gives the Rater and Ratee the opportunity to discuss the Ratee's job in direct relationship to the "Big Picture." Questions to consider in developing the major goals are "Why is the Ratee's job important to the organization?" and "How does the individual's job make a contribution to the organization's accomplishment of its goals?"

Please note that the Major Goals of the Ratee should not be mistaken as the section to list Individual Job Responsibilities. Major Goals of the Ratee are attainable objectives. Individual Job Responsibilities are the specific tasks to accomplish those objectives.

Individual Job Responsibilities

Once there is an understanding of “Why” the work unit exists and “What” is the employee’s contributing role to that unit, it is easier to talk about the specific job responsibilities of the Ratee.

The Individual Job Responsibilities are principal duties, tasks and assignments that must be accomplished by the Ratee in order to achieve the Major Goals of the Unit/Work Group and the Major Goals of the Ratee.

What are the key duties or tasks of the Ratee? There is no fixed number of Individual Job Responsibilities for a position. The number varies with the job and may even vary from year to year for the same job, depending upon program initiatives. Usually, however, there are six to ten Individual Job Responsibilities in any given job. If you think of Individual Job Responsibilities in terms of categories of assignments such as supervising, planning, typing, cleaning, scheduling, etc., then it is necessary for you to give examples of some of the specific tasks that fall under that category to ensure that there is a clear understanding of what needs to be done. (See **Appendix B** for sample Individual Job Responsibilities)

Please note, that the Job Specifications are general documents that may act as reference for certain tasks performed in a title. However, you must avoid using the Job Specification document as the actual tasks to be performed by a Ratee. Each Job Specification contains broad/general statements that may be performed by an individual in that title. Also, Job Specifications do not contain statements defining Standards for Satisfactory Performance.

When the Individual Job Responsibilities are determined and established, the following questions should be asked in relationship to the position:

- Does the job responsibility contribute to the goals and objectives of the Ratee and the work unit?
- Is it critical or vital to the job?
- Does statute or regulation require the job responsibility?
- Does performing the job responsibility appropriately take up a significant amount of the Ratee’s time?

If you cannot answer “yes” to any of these questions, perhaps this should not be included as an Individual Job Responsibility.

Standards for Satisfactory Performance

Once the Individual Job Responsibilities are outlined, the Standards for Satisfactory Performance describing the measures used to determine the Ratee's success are defined on the form. Standards of Satisfactory Performance should describe what the job responsibility looks like when it is performed correctly; the acceptable end result of the task or duty. There must be at least **one** Standard for Satisfactory Performance for each Individual Job Responsibility.

Standards for Satisfactory Performance are written at the level necessary to meet the work unit goals. They describe the acceptable level of performance that the Ratee must achieve in order to

meet the work unit goals. Standards for Satisfactory Performance describe the performance at the "Satisfactory" level.

Standards for Satisfactory Performance describe what the achieved goal looks like:

- They can define the quantity associated with the Individual Job Responsibility by determining the amount (how much or how many) of the product or service is acceptable to meet the work unit goals.
- Quality speaks to how well, how accurately, or how effectively the job responsibility is performed. Since quality can be subjective, it is necessary for the Rater to clearly define what he/she means by quality statements.
- Standards for Satisfactory Performance dealing with specific time frames or deadlines make up the timeliness element. If the work must be performed daily, monthly, or within established timelines, that fact is identified for the major job responsibility.
- Finally, cost criteria can be identified, whether they are budgetary constraints or cost savings realized.

Standards for Satisfactory Performance should follow the **SMART** principle. They must be:

Specific - Standards for Satisfactory Performance should be **explicitly stated and distinctive** actions related to the successful accomplishment of the job responsibility. If they are too broad, they will be difficult to measure.

Measurable - Standards for Satisfactory Performance must be **quantifiable**.

Attainable - Standards for Satisfactory Performance must be **attainable**. They must be reachable, within the power and scope of the Ratee to accomplish. They must be something that the Ratee can do.

Reasonable - Standards for Satisfactory Performance must also be **reasonable**. The standards should be within the Ratee's authority, something the Ratee has appropriate training and the necessary functioning equipment.

Tied - Finally, good Standards for Satisfactory Performance are **tied**, or linked, to the goals of the organization.

Universal Performance Factors

The standardized Universal Performance Factors that appear on the PES form are global measures that support the performance of the job. All PES forms will include the same seven performance factors (Communication, Customer Service, Job Knowledge/Skills, Problem Solving, Teamwork, Organizational Citizenship, and Workplace Safety). (See **Appendix A** for examples of Universal Performance Factors)

Examples of Satisfactory Performance

The Examples of Satisfactory Performance are statements that describe how well a job should be performed. The Examples of Satisfactory Performance are pre-defined illustrations for each Universal Performance Factor and reflect the actions or behaviors necessary for satisfactory

performance. By nature of their job title, Ratees may be limited in their ability to demonstrate proficiency related to the sample illustrations. The Examples of Satisfactory Performance are provided to assist the Rater in measuring the acceptable work attainment or job proficiency of the Universal Performance Factor. (See **Appendix A** for Examples of Satisfactory Performance)

Initial Meeting

The purpose of the Initial Meeting is for the Rater and Ratee to jointly discuss what the job is and how well it is to be done. The Initial Meeting provides an ideal opportunity for both parties to review job expectations (i.e. Major Goals of the Unit/Workgroup, Major Goals of the Ratee, Individual Job Responsibilities, and Universal Performance Factors), and determine how well they should be accomplished (i.e. Standards for Satisfactory Performance and Examples of Satisfactory Performance).

It is hoped that the Rater and Ratee can:

- Set specific, measurable Standards for Satisfactory Performance
- Determine problem areas and how to overcome them
- Review pre-defined Universal Performance Factors, corresponding Examples of Satisfactory Performance, and discuss their application.

Initial Certification

The PES form provides a space for conference confirmation and signatures. The date of the conference is entered into the space provided, after the appropriate review and discussion occur. The Ratee's signature here indicates that the job expectations and evaluation mechanism used have been discussed. The Ratee then has the opportunity to note agreement or disagreement and any relevant comments, concerns, or reasons for disagreement. The Ratee may use additional sheets if necessary.

The Rater and Reviewer then sign the certification section, indicating that the process has been followed and that they are aware of any concerns or issues documented by the Ratee.

Significant Events

The Significant Events section is used to record any noteworthy event, positive or negative, that occurs throughout the rating cycle. Many times, a Rater may wait until the last minute and attempt to recall specific events when determining the rating. This is not only difficult, but very impractical. Therefore, this section was developed to capture significant events as they occur, with both the Rater and Ratee initialing the description of the event and making comments.

It is up to the Rater to decide whether an event is considered "significant." However, this does not preclude a Ratee from bringing a particular event to the attention of the Rater for inclusion in the Significant Events section. It is important to reiterate that *this section is designed for use as the rating cycle progresses*. It should not be filled in as an afterthought or as a means of justifying the rating given, but as a tool to provide ongoing feedback.

Justification for Interim & Final Evaluations

In this section, the Rater should recognize and document positive contributions and areas needing improvement, and provide justification for the Overall Rating. This is done by citing specific examples, both positive and negative, that support and justify the rating given. (See **Appendix C** for a sample Justification Statement) **REMINDER: Interim Reviews reflect six month performance. Final Reviews reflect twelve month performance.**

Development Plan for Interim & Final Evaluations

In this section the Rater should identify skills and competencies targeted for improvement or growth. Although weaknesses are typically the focus of development plans, it is appropriate and highly recommended that this forum be used to increase an employee's strength in a particular area.

The Development Plan outlines a specific action plan related to areas where growth of skill or knowledge is desired, or needed. In order to provide clarity for the Ratee, it is suggested that Raters prioritize the areas targeted for development.

It is in the best interest of both the Rater and Ratee to mutually develop a specific plan of action. This development plan should include the identification of any resources necessary for successful achievement, and a plan to address the possible barriers that may arise. (See **Appendix D** for a sample Development Plan)

Interim & Final Rating

This section allows the Rater the opportunity to select the overall interim or final rating for the Ratee. **The Ratee must PASS 70% of all Individual Job Responsibilities (IJR) and Universal Performance Factors (UPF) in order to achieve a Satisfactory rating.**

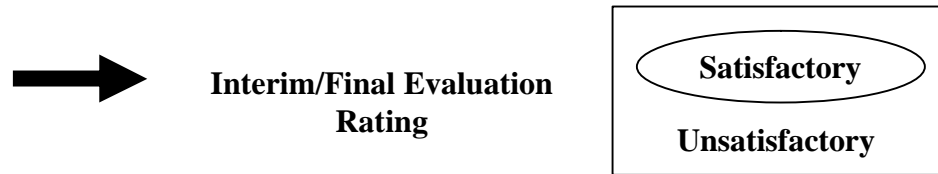
To calculate the interim or final rating, divide the total number of PASSING Individual Job Responsibilities and Universal Performance Factors by the TOTAL NUMBER of Individual Job Responsibilities and Universal Performance Factors on the form.

Illustration:
$$\frac{\text{Total \# of Passing (IJR + UPF)}}{\text{Total \# of IJR + UPF}} = \frac{9}{12} = 0.75 = 75 \% \rightarrow \text{Satisfactory}$$

$$\frac{\text{Total \# of Passing (IJR + UPF)}}{\text{Total \# of IJR + UPF}} = \frac{8}{14} = 0.57 = 57 \% \rightarrow \text{Unsatisfactory}$$

REMINDER: Interim Reviews reflect six month performance. Final Reviews reflect twelve month performance.

SAMPLE: COMPLETED INTERIM & FINAL RATING SECTION



Interim & Final Certification

The Interim and Final Certification Section is intended to document that a face to face meeting was held between the Rater and Ratee to discuss the assigned rating, the justification and the development plan. This section also allows the Ratee the opportunity to document his/her agreement or disagreement with his/her respective rating. Furthermore, this section provides a space for the Reviewer to document that he/she conducted a thorough quality review of the appraisal process.

Conducting the Appraisal Interview

The appraisal process requires open communication from both the Rater and Ratee. Giving and receiving feedback is key to the PES process. To ensure that the process is effective, the Rater should utilize the following principles of giving constructive feedback:

- Focus on future outcomes rather than on negative past circumstances or occurrences;
- Focus on specific behaviors and not the person;
- Use “I” statements rather than “You” statements; in these statements make it clear what the Rater's expectations are;
- Provide suggestions for improving performance;
- Provide guidance in advance of the performance event.

As part of this process, the Rater must be willing to listen to feedback from the Ratee. Using active listening techniques during this process will assist in ensuring effective communication. Active listening involves reflecting, paraphrasing and summarizing key points and feelings. These techniques encourage the speaker to clarify what has been said; check the understanding of what has been said; acknowledge the other person's viewpoint; and reduce the emotion or tension in a difficult situation.

Feedback sessions can be difficult but they are essential. If Raters have done their job properly throughout the rating cycle, the interim and final rating meetings will not bring any surprises to either party. However, there is always the possibility that the Ratee or Rater will get emotional about the information being shared. No one wants to feel like a failure and the purpose of these ratings and conferences is not to belittle the Ratee or Rater. The Rater should acknowledge the contributions that the Ratee has made and acknowledge the progress that has been made, while being honest about where there is a gap between expectations and results. Again, the Ratee

should know this before walking into the room. The Rater should keep the discussion on target. This is not about the personality of the Ratee. It is about the work produced or not produced; it is about results and outcomes.

One should never lose control of these feedback sessions. If the Rater senses that the Ratee is becoming emotional, one should take time out and if necessary, reschedule. Remember that the Rater and Ratee have the resources of the Reviewer, the Human Resources Office, and the Employee Advisory Service to assist with serious problems.

The feedback session should set the stage for additional meetings with the Ratee. These sessions can be brief but they will keep the Rater and the Ratee informed and will indicate an ongoing interest in the Ratee's job performance and work product and the department's and unit's goals.

The appraisal meeting should be scheduled for a time when there will be no interruptions. If for some reason there is an interruption, it should be rescheduled.

SECTION 5

The Performance Assessment Database System

The Department of Personnel (DOP), in conjunction with the Office of Information Technology (OIT), maintains a Performance Assessment Database System to help manage the PES program. This database enables the DOP to monitor, analyze, and evaluate the progress and status of the PES program down to the level of the individual employee.

The Performance Assessment Database System is a mainframe application designed to capture rating information for the interim and final rating cycles. By tracking this information, the system can assist both individuals and management in monitoring employee performance and goal attainment, and projecting employee development needs.

This database application interfaces with the Personnel Management Information System (PMIS) to obtain relevant personnel data, such as Rater name and Appointing Authority Code, from PMIS' Employee File. In addition, PMIS will read an employee's final rating directly from the Performance Assessment Database System and display that rating on its Employee Master Inquiry Screen.

Appendix A

Performance Evaluation System (PES) Frequently Asked Questions (FAQ's)

Who is required to receive a PES?

In State Service, the Performance Evaluation System (PES) shall apply to all employees represented by AFSCME, IFTPE, and CWA.

When should I receive my PES Job Expectations?

Job Expectations should be created within a reasonable time after the start of the new rating period, a new appointment, a change in supervisor, or a promotion. A face-to-face meeting with your supervisor should take place to review the elements of your PES (i.e. the Individual Job Responsibilities, Standards for Satisfactory Performance, and Evaluation Criteria).

Recommended: 1-2 weeks

What should happen if I disagree with the Job Expectations?

An employee who believes that the contents of a PES form do not properly assess his/her work or contain appropriate performance expectations, may request a meeting at the level of management above the employee's immediate supervisor, i.e. reviewer. A meeting will be held at which the employee may make known his/her concerns.

May I be assigned duties not on my PES?

Yes. Your PES Job Expectations contain only the most critical Individual Job Responsibilities. However, if a duty becomes a significant part of your workload, it should then become part of your Job Expectations, with both you and your supervisor initialing and dating the change or addition.

How many promotional points am I awarded for a Satisfactory final rating?

Employees receiving a Satisfactory final rating will be awarded 1 promotional point, whereas those rated Unsatisfactory will receive 0 points.

What happens if I do NOT receive a Final Rating?

First, you should ask your supervisor, then the Reviewer, for a Final Evaluation Rating. If you are unsuccessful, you should then contact your Personnel Office to inform them of the situation. If a Final Evaluation Rating is not submitted, there will not be an Official Rating entered in PMIS and the Performance Assessment Database System. However, for promotional purposes, you will be treated as if you received a rating of "Satisfactory" or "1" for that rating period.

How are promotional points assigned when both PES and PAR employees are applying for a promotion?

If the applicant population for a given promotional announcement involves a combination of PES (CWA, AFSCME, and IFPTE) and PAR (confidential or another Employee Relations Group), then all applicants will be awarded 1 or 0 points. That is, any applicant in this scenario who may have received 3 points under PAR should have those points converted to 1 point for promotional scoring purposes.

When are PES Ratings NOT used to add points to promotional examinations?

Whenever a supervisor completes a performance rating for one of his/her subordinates or acts as a Reviewer for a subordinate's rating and competes in the same promotional examination, then the PES Ratings are not used for any applicants in that unit scope.

How does PES relate to the Working Test Period?

The PES Job Expectations should be completed at the beginning of the Working Test Period. These Job Expectations can then assist in the completion of the Working Test Period Evaluation. The Interim and Final PES Ratings and Plans are completed twice each year, six months apart, regardless of the starting date of the Working Test Period.

For what period of time am I rated?

The rating cycle is one year; however, six months after the Initial Certification, the Interim assessment is due and six months later, the Final assessment is due.

Will my rating period change if I go on Leave of Absence?

Rating periods have been standardized and are not tied into your anniversary date as in the past. Your rating period will remain the same if you take a leave. You will be rated for the time you actually worked.

What happens if I change supervisors or transfer to a new unit, but keep my same title and duties?

A "closeout" PES Evaluation should be done with the former supervisor. New Job Expectations should be developed with the new supervisor. At the end of the rating period, the ratings of the former supervisor and the new supervisor should be pro-rated by the department's Human Resources Office to arrive at the Final Rating.

What happens to my PES if I get promoted, transferred, and/or my title changes?

In this case, you should receive a Final Rating for the former title. A new PES should be developed for the new title, new unit, and/or new department.

What happens if I receive a Rating of Unsatisfactory?

If you receive a rating of “Unsatisfactory”, your supervisor must make clear in your Final Development Plan the steps you must take to bring your performance up to the “Satisfactory” level. A performance conference shall be conducted every three months to evaluate your progress (or a shorter period of time as determined by the supervisor).

After I reach Step 8 or Step 9 in the compensation scale, do I still have to wait 18 months or 2 years, respectively, until my Final Evaluation Rating is completed?

No, you continue to receive a Final Evaluation Rating on the scheduled dates. The increment for Step 9 will be given 18 months after you have received your Step 8 increment. The increment for Step 10 will be given 2 years after you have received your Step 9 increment. Approval or denial of this increment will be based on the most recent Final Rating.

When will I receive my increment?

If you are entitled to receive an increment, your increment will be given on the pay period of your Anniversary Date. If you receive a Rating of Unsatisfactory on your most recent PES, your increment will be denied.

What is the role of the Reviewer?

The Reviewer is the Rater’s Rater. He/she should ensure that the process is handled equitably. It is the Reviewer’s responsibility to discuss the unit goals with the Rater. If there are concerns, the Reviewer should attempt to resolve them.

Can an agency have more than one PES model?

No. There is only one PES model available. This model will contain the same seven Universal Performance Factors for all Ratees. However, in most cases, different Model ID’s will be assigned to assist the agency in distinguishing between employees and supervisors. These groups can be further identified by the Individual Job Responsibilities and Standards for Satisfactory Performance listed on their respective forms.

Does an agency have to have a written PES for its employees?

Yes, a PES must be documented on the approved forms.

Can an agency rate “by exception” and assume that most employees are performing at an acceptable level?

No, every employee should have a PES and thereby be given the opportunity to grow and develop professionally.

What is a “significant fact or event”?

A significant fact or event is any noteworthy accomplishment, or area needing improvement, that occurs throughout the rating cycle.

Are agencies required to use a “Forced Distribution” rating approach? Are they permitted to use such a method?

Ratings should be based on the performance of an individual employee. Ratings should not be based on some predetermined perception that a certain number of employees must fall into a particular category.

Are there any “safeguards” to prevent intentional or unintentional rating errors?

It is recommended that each department monitor the various aspects of the PES Program within its agencies and divisions, take corrective actions when necessary, and reach out for assistance when needed. The Department of Personnel stands ready to lend whatever support is needed. In addition, the Performance Assessment Database System will check for errors in calculating the final rating.

What steps, if any, are available for employees who feel they have been unfairly or inaccurately rated?

An employee or the employee’s designated Union representative may appeal an Unsatisfactory rating to arbitration in accordance with the provisions of the applicable union contract.

Does the Rater (Supervisor) have the authority or responsibility to tell an employee that the employee's performance is "Unsatisfactory"?

It should be the goal as the employee’s supervisor (Rater) to keep the employee informed about the assessment of the employee's performance, particularly when that assessment is negative. In addition, there may be a policy or practice in agencies that must be followed when notifying employees that their performance is "Unsatisfactory."

Does the Rater (Supervisor) have to wait for the Interim or Final Performance Assessment Review to tell an employee that the employee's performance is "Unsatisfactory"?

No. Good managers provide employees with performance feedback on an ongoing basis, throughout the rating period. The important thing to remember is that no one likes to feel “sandbagged” at PES time - Interim or Final - so the Rater should confront any poor performance as soon as it becomes evident.

Should a Ratee get a copy of all the Rater's documents about the employee's performance?

Employees must be given a signed copy of the PES document for the Initial Certification, Interim and Final evaluation sessions. It is expected that supervisors may take "supervisory" notes to serve as "memory joggers" regarding the employee's performance. For example, these notes can include the dates or number of times an employee was given an instruction. This type of "supervisory" information does not have to be included in the documents given to the employee.

Appendix B

Definitions and Anchors

Universal Performance Factors and Examples of Satisfactory Performance

Universal Performance Factors	Examples of Satisfactory Performance	Interim		Final	
		Pass	Fail	Pass	Fail
<i>Communication</i> Effective expression of ideas, concepts or directions in individual or group situations.	Successfully communicated ideas, thoughts or directions. Asked appropriate questions and involved the listener. Sought clarification and affirmed understanding in verbal exchanges. If communication is written, thoughts are expressed with appropriate grammar, organization, and structure.				
<i>Customer Service</i> Identifies and meets customer (internal and external) needs.	Accurately assessed customer needs; provided necessary or requested service within acceptable timeframes requiring minimal corrections or revisions; sought customer feedback, and expression of satisfaction with work product. Occasionally sought alternative solutions.				
<i>Job Knowledge/Skills</i> Employee knows the details of the job, understands the job, and applies necessary knowledge and skills.	Effectively demonstrated job knowledge and ability to answer queries. Knowledge and skills contributed to the work of the unit.				
<i>Problem Solving</i> Performed as a problem solver. Exhibited a logical approach to problem solving	Identifies and analyzes problems; finds alternative solutions to problems; knows the difference between relevant and irrelevant information. Considers risks and benefits in reviewing alternatives.				
<i>Teamwork</i> Works collaboratively in a group as a team member to accomplish stated goals.	Supported the team in meeting objectives. Accomplished work assignments in support of team objectives. Cooperated with and contributed to help meet established team results.				
<i>Organizational Citizenship</i> Extent to which employee contributes to a productive and harmonious working environment by acting in a respectful manner towards people in the workplace.	Recognizes ethnic, cultural, religious, physical, gender and other individual differences. Treats fellow workers with respect. Keeps an open line of communication. Willingly cooperates with others who hold different views in order to complete the task/job at hand. Employee understands his/her part in shaping the environment.				
<i>Workplace Safety</i> Ensures Safety by maintaining a safe and secure work environment for self and others in the performance of the job functions and the delivery of service.	Took specific steps to demonstrate safe work practices. Anticipated potential safety issues and took action to alleviate them before a problem occurred. Observed appropriate safety standards and minimized exposure to unsafe conditions for self and others. Regularly demonstrated compliance with safety requirements and recommended measures to enhance safety whenever possible. Set an example in demonstrating safety requirement.				

Appendix C

Sample Major Goals of the Ratee, Individual Job Responsibilities, and Standards for Satisfactory Performance

(The samples provided are hypothetical and for purposes of illustration only).

A. Job Title: Secretarial Assistant

Major Goals of the Ratee: Professional and efficient administration of the Director's front office.

Individual Job Responsibilities	Standards for Satisfactory Performance Statement of conditions that exist when a job has been completed at the satisfactory level.
1. Answers the telephone in the Director's office. Receives and greets visitors.	<ul style="list-style-type: none">• Ratee's performance will be considered "Satisfactory" when eight out of ten calls are answered within three rings and callers/visitors are greeted in the tone of voice modeled during training. Also, the Ratee must identify the name of the department (organization) followed by "May I help you?"• Record-keeping is expected to be complete (date, time, caller, phone number, priority level, and message).• The aforementioned conditions apply when the number of calls and the number of "walk-ins" do not exceed 20% of average.• No more than 2 valid complaints per month.

B. Job Title: Maintenance Repairer

Major Goals of the Ratee: Maintain physical plant operations in compliance with objectives.

Individual Job Responsibilities	Standards for Satisfactory Performance Statement of conditions that exist when a job has been completed at the satisfactory level.
1. Responsible for completion of preventive maintenance and inventory control operations to ensure smooth-flowing, uninterrupted production.	<p>All preventive maintenance orders are completed on a priority basis by the assigned deadline.</p> <p>Jobs requiring re-work are completed within 48 hours.</p> <p>Parts are accurately ordered and deployed within 24 hours.</p> <p>Supplies and repair items are re-stocked weekly and the online inventory database is updated accordingly.</p>

C. Job Title: Research Scientist-Labor

Major Goals of the Ratee: Develop, implement, and maintain highly technical research projects following the Department of Labor's stated objectives and budget guidelines.

Individual Job Responsibilities	Standards for Satisfactory Performance Statement of conditions that exist when a job has been completed at the satisfactory level.
1. Lead / conduct research projects regarding labor markets and significant developments, including identification of trends and establishing an early warning system to notify management of unfavorable variances from norms.	<p>Research assignments are assigned an accurate priority rating on the following scale:</p> <ul style="list-style-type: none">• Priority #1--Responsibilities related to NJ Labor Market• Priority #2--Research related requests• Priority #3--Databases and related assignments <ul style="list-style-type: none">• Priority #1 responsibilities are completed within 24 hours of being received.• Priority #2 responsibilities are completed within one workweek of being received.• Priority #3 responsibilities are completed on an as time is available basis. <p>Employee consults with supervisor when priorities and deadlines conflict.</p>
2. Oversees the development of PESs for all staff within Bureau and has PESs completed within two weeks of due dates.	PES documents are in place for all staff; PESs include development plans and are submitted within 30 days after the end of the rating cycle"

Appendix D

Sample Justification Statement

Ms. Work instinctively prepared additional documents to support the request for an increase in funding for the habilitation program. After the budget meeting, it was determined her foresight resulted in the successful outcome of the application.

Another example of her consistent high level of performance was her ability to involve the support staff team in reorganizing their work area and improve the flow of work and communication.

Sally recently spearheaded another financial initiative by organizing her staff and preparing a draft proposal for a new \$300,000.00 federal grant. A formal presentation to Administration was well received.

Appendix E

Sample Justification Statement with Development Plan

Mr. Land has a real interest in computers and has functioned well in his role on the Help Desk. His knowledge of various applications and customer service skills has been acknowledged by over 100 callers to the center during this past year. However, he is not proficient in answering questions related to the network. This lack of proficiency causes delays in responses during emergencies. It is suggested he receive additional training on the various networks utilized in the department.

Development Plan: Outline a series of internal and external experience including structured classes designed to introduce and improve knowledge in computer networks.

Specific Action: Research classroom opportunities through the local community college and computer training schools listing all appropriate coursework relating to network applications. The Rater and Ratee will then develop a specific plan to integrate internal “hands-on” training with each class to further establish competency with each network application.

Since the classes and the “hands-on” training run simultaneously, this development plan will continue and be included in the next rating cycle.