



Montgomery County, Maryland

Office of Human Resources

Main Office Number: 240.777.5000

Additional Information: <http://www.montgomerycountymd.gov>

# Performance Management Guide for Supervisors

# Table of contents

Introduction	
What is performance management.....	Page 1
Objectives.....	Page 1
Performance Management Process Overview.....	Page 2
Performance Management Process Overview Chart.....	Page 3
Planning.....	Page 4
Steps to Developing A Performance Plan.....	Page 4
Monitoring: Observation, Documentation and Feedback.....	Page 8
Performance Evaluation/Appraisal.....	Page 10
Steps to Conducting Performance Evaluations.....	Page 10
Appendix	
Appendix 1 - Comparison of County Procedures.....	Page 14
Appendix 2 - More Planning Tips.....	Page 16
Appendix 3 - Supervisor Checklist.....	Page 17
Appendix 4 - Performance Management Glossary.....	Page 18

## ISCLAIMER

### **This Training Document Does Not Constitute or Change Any Express or Implied Contract**

The following training material provides general guidance for employees concerning the County's performance management system. It is not intended to change or otherwise modify any law, rule, regulation or bargaining agreement that may impact the subject matter contained in this document. If there is an inconsistency, the law, rule, regulation or bargaining agreement will prevail.

# Introduction

## What is performance management?

Performance management is an ongoing cycle of creating a performance plan, observing and documenting performance and behavior, providing feedback, coaching and mentoring, and finally, evaluating performance to assess trends and plan for the future. Performance management is not a singular event, but rather a continuous process. The benefits of which improve both the employee and the organization.

## Objectives

The ultimate goal of any performance management process is to help employees and supervisors achieve the organization's overall vision. Montgomery County's vision is to make the County the best place to be through efficient, effective, and responsive government that delivers quality services. Performance management supports that vision through three main strategies: 1) increased communication, 2) improved performance, and 3) enhanced employee development. The results of the evaluation may be used to support personnel decisions.

### Increased communication

- Enabling two-way dialogue between employees and supervisors
- Providing a forum for employees to seek and receive feedback on their performance and development
- Communicating and reinforcing organizational values and priorities

### Improved performance

- Clarifying job expectations
- Identifying and eliminating obstacles to outstanding performance
- Aligning individual goals with organizational goals

### Enhanced employee development

- Identifying areas for possible job enrichment and movement within career paths
- Structuring performance expectations to allow for new skill development

### Support personnel decisions

- Recognize exceptional or outstanding performance
- Manage the performance improvement process

### Decisions based on performance may include:

- Extension of probation
- Awarding of Merit System status
- Eligibility for annual increment
- Reduction in Force
- Recognition and awards
- Terminations and adverse actions
- Work assignments
- Training and career development opportunities

## **Performance Management Process Overview**

Performance management is often treated as a single administrative event rather than a continuous process of improvement. The purpose of this handbook is to outline a comprehensive approach to performance management to make the process more effective. Supervisors should also read the applicable procedure covering the employee(s) supervised.

Fundamentally, the performance management process is comprised of three phases: 1) planning, 2) monitoring: observation, documentation, and feedback, 3) evaluation.

### **Planning**

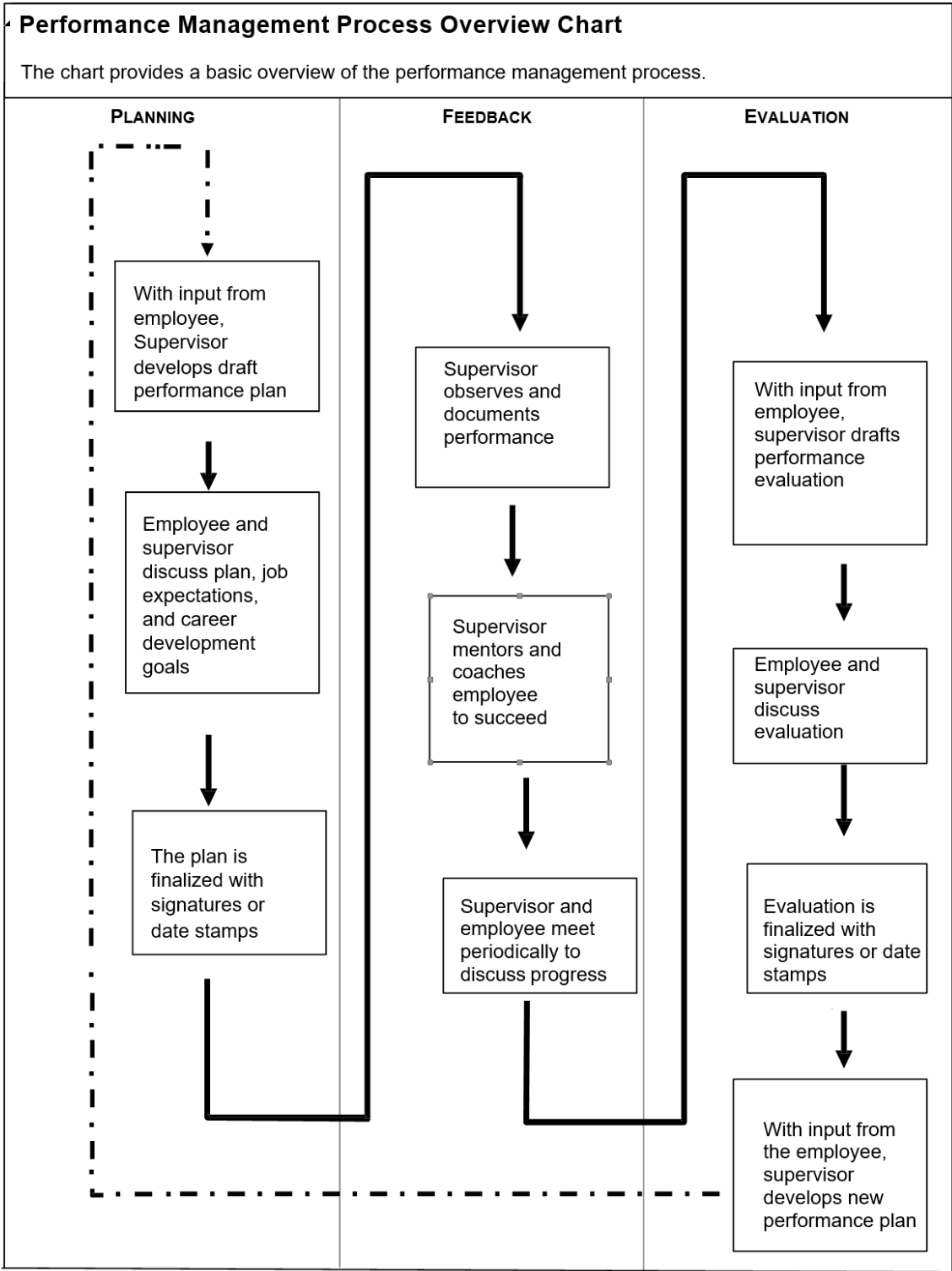
The performance management process begins with planning. Planning refers to the process of establishing a performance plan which includes clear performance expectations/objectives and targets/success criteria and career development goals for the given review period. The planning process should be a two-way dialogue between the employee and supervisor.

### **Monitoring: Observation, Documentation and Feedback**

Observation and documentation refers to making note of observable behaviors/results that indicate whether an employee's performance is on track. Feedback refers to the ongoing communication between supervisor and employee regarding the employee's observed performance or behaviors. The result of providing effective feedback is a clear understanding of an employee's progress toward, or challenges in, meeting established goals.

### **Evaluation**

Evaluation refers to the formal, written assessment of an employee's performance in relation to the performance plan. The assessment should be discussed with an employee, and should outline the employee's performance on each performance expectation and/or development goal, as well as provide an overall rating of their performance. Ideally, this formal evaluation should contain no surprises. It should simply summarize previous feedback given throughout the reviewing period.



## Planning

The planning process should be a two-way dialogue between the employee and supervisor. Some information in this section will not apply to existing standardized plans or Behavioral Anchored Rating Scales (BARS).

### I. Steps to developing a performance plan

#### A. Conduct job analysis

1. Collect information about the job from:
  - a) The employee or a representative group of employees
  - b) Observations of the work being performed
  - c) Position description
  - d) Class specifications
2. Consider related information which may affect your expectations about the job:
  - a) Department, division or work team goals. Identify what contributions the employee is expected to make toward achieving these goals
  - b) Organizational structure and delegation of authority
  - c) Utilization of previous evaluation results or professional develop goal outcomes
3. Determine:
  - a) Areas where the employee has direct control over their performance/outcomes
  - b) Areas where tasks are accomplished through directing subordinate staff

#### B. Determine what tasks the employee is assigned and what results (qualitative and quantitative) the employee is expected to achieve.

Bring together all the information you have collected about the position, and expected employee contributions to the overall work goals of the unit. Identify any targets or goals the employee may be expected to achieve.

#### C. Determine the skill, knowledge and behaviors required to perform the job.

Consider how the job must be performed in addition to what must be accomplished. What skills and behaviors must be demonstrated in performance of the tasks?

#### D. Draft performance expectations

1. Performance expectations may be stated as a goal, outcome or result expected, numerical criteria, behavior to be demonstrated, task to be accomplished or performed, acceptable conduct.
2. Goals must describe performance at the satisfactory/meets expectations level and be consistent with the class specification.
3. Expectations may be described as tangible goals and/or as behavioral (general) or functional (job specific)

## Behavioral Competency-based Expectations

Each job is composed of both: 1) specific tasks and deliverables; and 2) the skills and knowledge necessary to accomplish those deliverables.

In setting competency-based expectations for their staff, managers should keep in mind that each should have clear and achievable examples and/or indicators. These indicators give the employee an idea of how their performance on any particular expectation will be measured.

Supervisors should identify which:

- Skills and bodies of knowledge are necessary in order for an employee to successfully perform their duties.
- Behaviors employees are expected to demonstrate as a successful, productive member of the team and/or department.

These would be the competencies. Once a supervisor has identified the list of competencies, the next step is to develop a statement that clearly explains what the supervisor is looking for in an employee's performance to "meet" requirements. Competencies are grouped by general/behavioral or position specific categories.

Sample Competencies (with success indicators or examples)

1. Inspections: Completes all inspection activities in a timely, accurate, and thorough manner including:
  - a. Preparing reports and correspondence,
  - b. Issuing civil citations for all violations,
  - c. Issuing emergency notices, and
  - d. Conducting re-inspections as appropriate.
2. Accountability: Demonstrates professional accountability and initiative by:
  - a. Effectively self-managing time, tasks, and priorities;
  - b. Exercises good judgment in appropriate attire for office, court appearances, community meetings, etc.);
  - c. Proactively responding to the needs of assigned communities/areas.
  - d. Adheres to scheduled work hours, including arrivals, departures and lunch breaks, and reports these on electronic sign-in.
  - e. Attends all required trainings and meetings.
3. Teamwork: Effectively demonstrates teamwork, cooperation and collaboration through:
  - a. Attendance and constructive participation in all meetings, including unit, all-staff and individual supervisory conferences
  - b. Works cooperatively with co-workers to provide full program coverage.
  - c. Participates willingly in outreach activities.
  - d. Participates in internal collaboration to enhance/promote programs.
4. Customer Service: Provides good service to customers by:
  - a. Taking proactive steps to engage residents/citizens in resolving neighborhood issues,
  - b. Being responsive to neighborhood needs and requests, and
  - c. Making appropriate referrals to other County services
  - d. Conducting necessary follow-up.

## Steps to developing a performance plan (cont.)

### E. Using performance targets and numerical criteria (or Major Work Responsibilities and Performance Guideline)

1. Determine how you will measure whether an employee is adequately performing.
  - a) Select the work responsibility to be measured, being as specific as possible.
  - b) Select an appropriate measurement criterion:
    - (1) **Quality** defines the accuracy, appearance, usefulness, or effectiveness with which a task is to be performed.
    - (2) **Quantity** identifies how much work is to be performed, frequency of tasks, or levels of productivity within a specified period.
    - (3) **Timeliness** focuses on adherence to deadlines, schedules, and other time constraints.
    - (4) **Cost effectiveness** relates to resource allocation and/or working within budget constraints.
    - (5) **Behavioral** emphasizes attitudinal components of an employee's performance (i.e. how well the employee deals with clients, other employees, conducts meetings or makes presentations).
    - (6) **Pre-established standards** apply regulations, historical standards, occupational or professional guidelines, standards or organizational goals.
  - c) Determine acceptable, observable behaviors that would indicate performance at a satisfactory level.
  - d) Add mandatory supervisory goals on PPE compliance and EEO/diversity initiatives.
  - e) (MCGEO only) Link expectations to County Guiding Principles. (See Glossary) by listing the guiding principle being supported by the expectation.
2. Establish at least one Career Development objective and implementation strategies in conjunction with the employee to be attained during the review period. (Mandatory for unrepresented employees).

### F. Reach agreement with employee

1. Meet with each employee to discuss his/her performance plan. Make sure each non-quantified term or guideline, and each behavior indicator is clear. Also, reach an understanding about specific action steps to meet career development goals. Modify plan as needed.
2. Submit the draft performance plan for review by higher level manager to ensure consistency with departmental objectives and procedures (optional).
3. Sign and date the plan (both supervisor and employee).
4. Submit a copy of the plan to the official (OHR) personnel file, and depending on departmental procedures, the supervisory and operating files.



## **Steps to developing a performance plan (cont.)**

Think of a work plan as a contract that describes the work to be performed (what type and how well), and serves as the basis for a future performance evaluation.

### **Criteria Checklist for Performance Objectives**

Performance objectives should be:

- Clear and easily understood
- Realistic and attainable
- Observable and measurable (ranges are preferred)
- Practical to measure (should not create an unreasonable burden)
- Based on sound rationale
- Challenging enough to encourage professional growth
- Flexible and adaptable to changes in objectives/programs
- Easy to assess on a regular basis or conduct interim progress checks
- Comparable to what is expected of other employees in similar positions
- Distinguishable from what is required from employees in lower or higher grade levels
- An indication of performance at the satisfactory level and not merely a detailed list of activities performed by an employee
- Established at the fully satisfactory level for the fully trained and competent employee, unless job has been designated as a trainee position

## **Monitoring: Observation, Documentation, and Feedback**

Feedback is given to both 1) recognize outstanding performance and 2) provide constructive strategies to change or improve performance.

### **I. Collecting relevant performance information through observation:**

1. Begin observing and documenting performance throughout the year as soon as the performance plan has been established.
2. Don't rely on your memory! Maintain logs, supervisor notes, progress notes, collection of work samples or other materials that relate to performance standards and/or expectations.
3. Encourage employees to keep their own progress notes.

### **II. Conducting a progress discussion**

#### **A. Prepare for the progress discussion**

1. Decide what you would like to accomplish in the meeting. Be realistic about what can be accomplished and limit the focus of the discussion. Reason(s) for conducting a progress discussion may include:
  - a) Mid-year assessment of progress.
  - b) Reinforcing already high performance.
  - c) Identifying areas for performance improvement.
  - d) Modifying the current performance plan.
2. Give the employee adequate notice of the date, time and place for the review meeting. Three to five days is best.

#### **B. Conduct the progress discussion**

1. Create a positive climate
  - a) Hold the meeting in private.
  - b) Reduce any barriers to a frank discussion.
  - c) Allow sufficient time for the interview.
  - d) Provide feedback about their work performance
2. Listen
  - a) Effective performance management starts with good listening. If an employee knows that he is "being heard," then he or she is more likely to take ownership of their responsibilities and will perform better.
3. Emphasize career development opportunities
  - a) Development opportunities are to improve performance and to expand the skills of employee. The following development opportunities apply equally to employees at all levels of performance
    - (1) Facilitating completion of educational courses.
    - (2) Participation in County training programs.
    - (3) Enhancing the job by assigning challenging duties.
    - (4) Rotating employees performing similar duties.

## **II. Conducting a progress discussion (cont.)**

### **C. End discussion by establishing a course of action**

1. Establish a course of action
  - a) Maximize alternatives. Offer several alternatives, as well as elicit ideas from the employee. Work on a solution that allows the employee to choose a suitable course of action he or she feels is best under the given circumstances. This level of participation increases the likelihood of success.
2. Close the discussion
  - a) Summarize the main points of the meeting, making sure you have understood the employee's point of view and they have understood you. Write up a review memorandum, if needed, to summarize significant issues, or changes to the current plan.
  - b) Sign and date the form with the employee to document that the discussion has occurred.
  - c) Have the employee sign all attachments to the form that may be the results of any changes in the original plan
  - d) Schedule additional meetings if needed.
  - e) Modify performance plan as needed.

## **IV. How to give feedback**

### **D. SBI method<sup>1</sup>**

1. The SBI method is an acronym for situation, behavior, and impact.
  - a) In short, when giving feedback describe the situation, describe the behavior observed, and explain the impact that the behavior had. This method is effective because of its simplicity.
2. Situation
  - a) Describe the specific situation in which the behavior occurred
    - (1) Avoid exaggerations
    - (2) Be specific about the location and time
    - (3) The more detail, the clearer your message
3. Behavior
  - a) Describe the behavior of the employee in clear terms
  - b) Talk about both what the employee did, but also how they performed
  - c) When describing the employees' behavior during a feedback session, focus on describing the employees:
    - (1) Body language
    - (2) Tone of voice and speaking manner
    - (3) Choice of words
  - d) Avoid judgments or interpretations
  - e) Concentrate on observed behavior, not an interpretation of events
4. Impact
  - a) Communicate how the employee's behavior has affected the organization, work team, program or customers.

<sup>1</sup> the SBI method is a copyright of the Center For Creative Leadership (CCL). For more information on the SBI method please refer to the CCL's "Feedback That Works: How To Build And Deliver Your Message" or "Ongoing Feedback: How To Get It, How To Use It". Both are available at [www.ccl.org](http://www.ccl.org).

# Performance Evaluation/Appraisal

Performance evaluation refers to the formal assessment of the employee’s performance in relation to the performance plan. This assessment, conducted annually or at interim intervals, has both written and oral components. Using effective performance management means this formal evaluation will contain no surprises. It should simply summarize feedback given through the previous reviewing period.

## I. Steps to conducting performance evaluation

- A. Review the performance plan and analyze the information you have collected
  - 1. About 30 days prior to the evaluation due date, compare actual performance to the performance guidelines.
  - 2. Have employees give you a list of what they feel were their major accomplishments during the review period.
- B. Decide on a tentative ratings and narratives
  - 1. Review the rating category definitions. Write draft ratings and accompanying performance narrative on the appropriate performance evaluation form. Take care to avoid common rating errors. (See common rating errors on the next two pages.)
  - 2. The narrative should clearly explain the rating given with a short statement that specifically describes the level of performance. Tips:
    - a) If the performance was exceptionally good or poor, the responsibility or guideline was changed, or there were extenuating circumstances you will need to elaborate a bit more on the situation.
    - b) Give examples whenever possible.
    - c) You may find that detailed information here helps you be more specific when developing the next performance plan.
  - 3. You may also suggest to the employee that they do a self-appraisal prior to meeting and bring along their personal notes/documentation to facilitate two-way discussion during the performance evaluation discussion meeting.

Rating Categories: Refer to procedures for rating definitions

<b>MC GEO (Article 40 &amp; Appendix IX)</b>	<b>MC PR (Section 11)</b>	<b>FOP (Function Code 370)</b>	<b>IAFF (CBA – Article 59)</b>
Outstanding	Exceptional Performance	Exceeds Requirements	Exceptions
Above expectations	Highly Successful performance	Meets Requirements	Above Exceptions
Meets expectations	Successful Performance	Below Requirements	Meets Exceptions
Below expectations	Below Expectations		Does Not Meet Expectations
Does Not Meet Expectations	Does Not Meet Expectations		

## **I. Steps to conducting performance evaluation (cont.)**

- C. Discuss the evaluation ratings with the reviewing official/higher level supervisor
  - 1. This step is to facilitate consistency, equity, and quality of evaluations throughout the work unit. The reviewing official may be able to identify inconsistencies and/or errors. The reviewer may suggest corrections and/or attach narrative comments, but may not change ratings.
- E. Conduct the performance evaluation meeting or discussion with the employee
  - 1. Explain ratings decisions openly and frankly.
  - 2. Listen objectively to the information or concerns raised during the evaluation meeting. Changes in ratings should be based on concrete justification. Never make the change just to avoid conflict.
  - 3. 3. Note progress on the career development goal (not rated-but progress described).
- F. Finalize the performance evaluation
  - 1. Finalize performance ratings, narrative comments, and employee comments/rebuttals, incorporating any changes resulting from the performance evaluation meeting.
  - 2. Obtain all necessary signatures. The employee should sign last to ensure that he/she has seen all comments and attachments.
  - 3. Distribute finalized performance evaluation:
    - a) One copy to the employee
    - b) The original signature copy should be maintained in departmental files
    - c) Copy to the Office of Human Resources.
- G. Incorporate changes into the next performance plan.
  - 1. Use the information from the evaluation process to improve the quality of next year's performance plan. This may include modifying performance standards, adding developmental/training goals, putting more emphasis on areas needing improvement and so on.

# Common rating errors

## 1. Errors related to employee characteristics:

- **Stereotyping errors:** allowing the employee's personal views, personality, appearance, race, religion, age, handicap, sex, marital status, pregnancy, parenthood or any other non-merit factor to influence the rating.
- **High potential effect:** translating an employee's abilities or attitudes that are not related to his/her present job into a higher or lower evaluation rating than actual performance justifies.
- **Mentor effect:** overestimating the quality of performance of employees who were trained by the supervisor and underestimating the performance of those who were not.
- **Maverick effect:** giving a lower rating because the individual is a nonconformist or frequently disagrees with the supervisor.
- **Guilt by association error:** giving a lower or higher rating because the employee associates with a particular group or works with others with less satisfactory performance.
- **Compatibility effect:** rating an employee higher because of similar age, background, education, attitude, etc.
- **No news is good news error:** rating an employee higher just because no one has complained about him or her (recently).

## 2. Errors related to supervisor characteristics:

- **Blind spot error:** ignoring a particular deficiency because it mirrors a weakness of the supervisor.
- **Self-comparison error:** rating an employee who holds the supervisor's previous job lower because he or she does the job differently.
- **No conflict error:** giving a high rating because of reluctance to provide frank and honest performance feedback.
- **Appearance worry:** giving high ratings because of a desire to "look good" or avoid looking like a bad supervisor.

## 3. Errors in the assignment of rating categories:

- **Leniency/stringency effect:** giving an extreme rating to all performance guidelines because of failure to differentiate levels of performance for each performance guideline.
- **"Easy-out" error:** failing to give a deserved low rating to avoid follow through with appropriate personnel actions.
- **Central tendency error:** rating all individuals in the middle of the scale. It adversely affects the particularly good performers while being overly generous to the poor performers.
- **Situational error:** over or under-compensating for extenuating circumstances.
- **"Company policy" effect:** allowing perceived pressure from higher management to control rating distributions.
- **Recency effect:** allowing a recent incident to unduly influence ratings.
- **"Not my job" error:** holding the employee accountable in the ratings for results beyond his or her control.
- **Halo effect:** rating an employee excellent on one quality, which in turn influences other ratings.

## Common rating errors (cont.)

### 4. Errors in the assignment of rating categories:

- **Leniency/stringency effect:** giving an extreme rating to all performance guidelines because of failure to differentiate levels of performance for each performance guideline.
- **"Easy-out" error:** failing to give a deserved low rating to avoid follow through with appropriate personnel actions.
- **Central tendency error:** rating all individuals in the middle of the scale. It adversely affects the particularly good performers while being overly generous to the poor performers.
- **Situational error:** over or under-compensating for extenuating circumstances.
- **"Company policy" effect:** allowing perceived pressure from higher management to control rating distributions.
- **Recency effect:** allowing a recent incident to unduly influence ratings.
- **"Not my job" error:** holding the employee accountable in the ratings for results beyond his or her control.
- **Halo effect:** rating an employee excellent on one quality, which in turn influences other ratings.

### 4. Errors in observation and documentation:

- **Inappropriate plan:** performance guidelines did not accurately reflect the satisfactory level of performance for the position, or the guidelines did not accurately fit the responsibilities.
- **Inadequate information:** incomplete or inaccurate information about performance was collected. Dependence on a single or limited number of information resources.
- **Categorization error:** loss of detail through simplification or forcing observations into categories instead of remembering the differences between ideas, behaviors, and people.
- **Assumption errors:** confusing facts with inferences and making erroneous assumptions.

## Appendix 1 - Comparison of County Procedures

The County currently has several different policies/processes for performance management. All employees in career and term positions are covered by a performance management procedure. The chart below highlights some of the differences between the various policies. Supervisors should read and become familiar with the procedure covering employees they supervise.

Employee Group	MCGEO	FOP	IAFF
<b>Applicable Regulation for Performance Evaluation</b>	<b>Appendix IX, MCGEO OPT &amp; SLT Agreement</b>	<b>Function Code 370 and Article 53 of FOP Agreement</b>	<b>Departmental procedure approved under AP 4-12, Performance</b>
<b>Action Required</b>	An annual performance plan and evaluation is required for all covered employees using procedures and form in the current agreement	An annual performance plan and evaluation is required for all employees using approved departmental procedures and form	An annual performance plan and evaluation is required for all employees using approved departmental procedures and form
<b>Evaluation Form</b>	Use the form included in Appendix IX of the Agreement	Existing departmental PPA form	Existing departmental PPA form
<b>Performance expectations</b>	Performance goals with targets; competencies and optional professional development goal. Expectations linked to Guiding Principles	Major work responsibilities and performance guidelines. Supervisors must be rated on performance of PPA	Pre-established behavioral anchored rating scale expectations. Supervisors must be rated on performance of PPA
<b>Evaluation Review Period</b>	Increment Date or Fiscal Year as determined by department	Anniversary or Increment date	Anniversary or increment date
<b>Interim evaluation</b>	Recommended prior to end of probation, change in performance, change in supervisor/duties/station		
<b>Due Dates</b>	New hires establish plan within 45 days/60 days for current employees. Evaluation to be completed within 60 days of end of review	Establish plan within 30 days of hire/start of review period. Evaluation to be completed 2 weeks prior to end of review period as follow up to preliminary review 4 months earlier	Establish plan within 30 days of hire/start of review period. Evaluation to be completed within 30 days of end of review period



## Appendix 1 - Comparison of County Procedures (cont.)

Employee Group	MLS	
<b>Applicable Regulation</b>	MCPR, 2001, Section 11	
<b>Evaluation Form</b>	PEP Form: Use pre-established mandatory performance expectations and management competencies	Form contained in Attachment G of MCPR, 2001
<b>Performance Expectations/ Objectives</b>	Performance goals with targets/success criteria; pre-established competencies and mandatory goals, mandatory professional development goal	Performance goals with targets/success criteria; pre-established competencies and mandatory goals, mandatory professional development goal
<b>Evaluation Review Period</b>	Fiscal Year	Fiscal Year or Increment
<b>Interim evaluation</b>	Recommended prior to end of probation, change in performance, change in supervisor/duties.	
<b>Due Dates</b>	New hires establish plan within 45 days/45 days for current employees. Evaluation to be completed by the end of June.	New hires establish plan within 45 days/45 days for current employees. Evaluation to be completed within 60 days of end of review period.

MCCEO, FOP, IAFF and Unrepresented procedures are posted on the OHR Website.

MCCEO, FOP and IAFF forms are posted on the OHR Website.

MLS, Question A, GSS and Public Safety Management (PSM) appraisals (forms) are published through the WPM system

Click the [Performance Management](#) link to access Performance Management procedures and forms.

Click the [Oracle Workforce Performance Management \(WPM\)](#) to access the online WPM training materials

## Appendix 2 - More Planning Tips

### In the process of developing performance plans?

These suggestions are intended to provide some additional help in preparing performance plans, specifically developing expectations that are results-oriented and/or competency-based. Your objective is to communicate to the employee what they are expected to do, and then how well they must do it to be satisfactory.

**First:** Brainstorm the tasks, duties, and behaviors necessary to do the job.

Come up with a list of tasks, duties, behaviors that are essential to performing the job and reaching the necessary outcomes. Remember, you don't have to list every single thing a person does in the course of a day, but make sure you get down on paper the core functions.

**Next:** Play with the words.

Try and cluster the similar items from your brainstorming list, then develop a statement that best represents what you're trying to get across. If you have too much overlap, consider another approach to organization.

**Then:** Come up with some examples or indicators of successful performance.

Once you decide which expectations most closely represent what you're looking for from individuals on your team, identify some specific examples to help them understand what you're looking for. These examples can be written or verbally explained to employees.

**Finally:** Take a Second Look.

Finally, after you have a set of "draft" expectations, double check the thoroughness and effectiveness by asking yourself the following questions:

- Are the performance expectations clear and understandable?
- Are the expectations and objectives for individual employees aligned with departmental goals and/or the County's mission? Can you observe and document?
- Are the expectations achievable but challenging?
- Do the expectations on the performance plan help focus employees on results and encourage an interest in improving the services of their organization?
- Do employees understand their role and how they fit into the organization's overall mission?

**Other Key Points to Consider:**

- Will I be able to make a clear distinction between good, poor, and outstanding performance?
- How will I (my organization) acknowledge/reward good performance?
- Are the intended rewards valued by employees?
- Do I promptly and appropriately address performance problems?
- Do employees believe the organization supports their efforts toward career/professional development?
- Are employees engaged/involved in establishing goals and/or expectations?
- Are there opportunities I can recommend to my employees that will enhance their professional development?

## Appendix 3: Supervisors Check List✓

### Performance Planning:

Establish performance plans within: 45 days for MCGEO employees in new positions and 60 days for existing employees; 45 days for Un-represented employees in new positions and 45 days for existing employees; 30 days for FOP and IAFF employees

- Obtain the appropriate performance planning form. FOP and IAFF have dept. specific forms)
- Develop a plan that covers a review period of 12 months or less.
- Ensure that performance standards explicitly state what's expected to achieve a satisfactory rating.
- (MCGEO Only) Identify which countywide Guiding Principle each performance is supporting.
- (Supervisors Only) Include mandatory goals for compliance with the EEO policy and performance evaluation of employees
- Ensure that performance standards and expectations are consistent with the class specifications.
- Ensure any team goals are identified as team goals (which cannot include behavioral expectations or competencies), and
- Ensure performance standards and expectations can reasonably be observed and documented, and/or measured
- Include at least one professional career development goal (Mandatory for non-represented employees)
- Involve the employee in the development of performance plan as much as possible.
- Obtain the appropriate signatures: Employee and Supervisor (represented by date stamps in the online performance systems)
- Give employee a copy of performance plan (within 10 days for MCGEO; 30 Unrepresented).
- Supervisor keeps original signature form in supervisory file.
- Create a schedule for on-going monitoring, feedback and keeping documentation throughout the year.

### Performance Evaluation/Appraisal:

The performance rating should be based on a review period 12 months or less, and completed within 60 days of the end of the review period (MCGEO and Un-represented employees); 14 days prior to increment date (FOP); 30 days of the end of the review period (IAFF). (MLS due by the end of June).

- Review your notes, work samples and other back up documentation.
- Suggest the employee complete a self-assessment on each standard and prepare list of accomplishments in preparation for a discussion of their performance ratings with their supervisor.
- Rate each independent performance competency and expectation, or provide an explanation of why no rating was not possible at this time (ex. change of assignments, extended leave of absence, other extenuating circumstances)
- Support each rating with a narrative statement explaining the rationale for the rating. Note any progress toward professional development goals
- Determine an overall rating consistent with the ratings given to the performance expectations
- Submit the draft evaluation form to the Reviewing Official PRIOR to review by employee
- Schedule and conduct a meeting for the employee and supervisor to discuss performance, review documentation and award finalize ratings.
- Give the employee an opportunity to provide comments BEFORE submitting the evaluation to the Reviewing Official for approval.
- Obtain appropriate signatures. **NOTE: The evaluation closes when approved by the Reviewing Official.**
- Give copies to appropriate persons/locations: Employee (10 days for MCGEO/FOP; 30 days IAFF, non-represented), departmental operating file, OHR official personnel file, supervisory file.
- Begin planning performance expectations for the new review period

## Appendix 4: Performance Management Glossary

**Coaching:** The ongoing process used by a supervisor to provide guidance and direction to the employee to maximize the employee's knowledge, skills, and abilities and enhance the employee's career development.

**Competency** A performance standard based on a cluster of knowledge, skills, abilities, and observable, job-related behaviors that collectively contribute to successful performance of one or more job functions.

**Behavioral competencies** are generalized behaviors that reflect an employee's ability to fill expected roles in service of the county's mission (i.e. customer service, personal accountability, etc.).

**Functional competencies** are job specific. They relate to the relevant areas of expertise for an employee or group of employees.

**Conduct:** job-related behaviors that are necessary for maintaining an orderly, safe, and productive work environment. This may include behaviors such as attentiveness to work during duty hours, safe and considerate work habits, compliance with procedures and supervisory instructions, and ethical practices. Repeated tardiness or unscheduled absences, frequent personal calls or conversations during work hours, rude or abusive treatment of others; inappropriate language or behavior, and compromising the safety of employees or others are examples of inappropriate conduct.

**Counseling session** is a discussion between an employee and supervisor specifically to resolve the employee's conduct or performance problems.

**Disciplinary action** includes one of the following adverse personnel actions taken by a supervisor against an employee:

- (1) oral admonishment
- (2) written reprimand
- (3) forfeiture of annual leave or compensatory time
- (4) within-grade salary reduction
- (5) suspension
- (6) demotion
- (7) dismissal/termination

**Due process** assures the right of a County employee to be afforded those procedural protections expressly established by applicable provisions of the Charter, merit system law, and regulations in any matter affecting terms or conditions of employment.

**Grievance** is the formal complaint of a merit system employee arising from a misunderstanding or disagreement between the employee and supervisor over a term or condition of employment.

**Guiding Principles** - The County's Guiding Principles were intended to establish a framework that illustrates the value we place on creating and maintaining an open, efficient, effective organizational culture/working environment. In all there are nine guiding principles:

*Adhering to High Ethical Standards*  
*Appreciating Diversity*  
*Being Accountable*  
*Being Open, Accessible and Responsible*  
*Customer Service*

*Empowerment and support of Employees*  
*Ensuring High Value for Tax Dollars*  
*Striving for Continuous Improvement*  
*Working Together as a Team*

**Interim evaluation:** A performance evaluation conducted by a supervisor at any time between annual performance evaluations to:

- (1) Change of supervisor
- (2) Significant duty changes
- (3) Document changes in performance

**Management Leadership Service (MLS)** is the program for merit system employees in high level positions who have responsibility for managing County programs and services or developing and promoting public policy for major programs and management functions, or both, that includes a broadband classification system, performance-based pay, and professional development opportunities.

**Merit system employee** is a person employed by the County in a full-time or part-time career position, and term positions. This does not include temporary employees.

**Multi-source feedback:** Information from more than one source about the performance of an individual or team. It may include self-appraisal or input from a peer, team member, supervisor, individual supervised, or other person having reliable knowledge of the employee's or team's work product or service.

**Overall rating:** A summary rating in the employee's performance evaluation that best describes the employee's overall level of performance during the period covered by a performance plan.

**Performance evaluation:** A supervisor's written evaluation of an employee's performance in relation to the expectations in the employee's performance plan. An evaluation may be an interim or annual evaluation.

**Performance expectations and standards:** The criteria by which an employee or team is rated. A performance expectation or standard is a written description of the quality, quantity, or characteristics of the work performance or results that the employee or team is expected to accomplish.

**Performance management:** The systematic process by which an organization involves its employees in improving the organization's effectiveness and accomplishing the organization's mission and goals. It covers the entire process of establishing expectations, monitoring progress, and providing employees and teams with feedback and ratings on the level of performance achieved.

**Performance plan:** The document that records performance expectations and standards and is the basis for assessment of the employee's job performance.

**Performance planning and evaluation:** The total process in which a supervisor develops performance expectations and standards; observes, reviews and appraises individual work performance; recognizes exceptional performance; and identifies areas for improvement.

**Probationary employee:** An employee recently hired by the County who has not completed the initial probationary period and gained merit system status.

**Probationary period:** The initial period after employment during which an employee must demonstrate proper attitude and ability in order to be granted merit system status. (Unrepresented employees: 12-months; OPL/SLT: 6–12 months). A person appointed to a temporary position does not serve a probation period.

**Progress discussion:** A supervisor's verbal assessment of an employee's performance in relation to the expectations in the performance plan.

**Promotional probationary period:** A period immediately following the promotion of an employee during which the employee must demonstrate the ability to perform the duties of the new position in order to remain in that position.

**Rating categories:** The descriptive terms used to characterize the overall level of an employee’s performance: (Refer to procedures for rating definitions)

<b>MCGEO (Article 40 &amp; Appendix IX)</b>	<b>MCPR (Section 11)</b>	<b>FOP (Function Code 370)</b>	<b>IAFF (CBA – Article 59)</b>
Outstanding	Exceptional performance	Exceeds requirements	Exceptions
Above expectations	Highly Successful performance	Meets requirements	Above Exceptions
Meets expectations	Successful performance	Below requirements	Meets Exceptions
Below expectations	Below expectations		Does Not Meet Expectations
Does Not Meet Expectations	Does Not Meet Expectations		

**Review period:** The time period during which an employee’s performance is reviewed and for which an overall rating is prepared.

**Reviewing official:** The individual who must review the evaluation and ensure that appropriate performance planning and evaluation procedures were followed by the employee’s immediate supervisor. A reviewing official should help to resolve disagreements between the supervisor and employee on the plan or evaluation and ensure that:

- (1) the plan and evaluation are consistent with this regulation; and
- (2) the overall rating is consistent with the individual elements of the plan.

**Supervisor:** The CAO and subordinate personnel who are authorized to perform supervisory functions.

**Team:** A directed or self-directed work group with one or more formally assigned and shared work expectations for which all members of the group are responsible.

**Team member or peer:** An individual who works with an employee or group of employees in a non-supervisory capacity and who has direct or reliable knowledge of the work performed by the employee or team.

**Team rating:** A rating given to all members of a team on one or more formally assigned and shared work expectations for which all members of the group are held responsible.

**Term position:** A type of full-time or part-time career merit system position that is created for a special term, project, or program, or a position in which the incumbent’s employment terminates at the expiration of a specified period of time or term.

**Work improvement plan:** A work improvement plan is required when an employee’s performance is rated unacceptable through an interim or annual performance evaluation. The work improvement plan is a written document that:

- Outlines the specific performance problem(s)
- Identifies the “Meets expectations” requirements
- Identifies the consequences if the performance problem is not corrected
- Specifies the type of assistance/support offered to the employee to help correct the problem
- Outlines the timeline (not less than 90 days) for improvement