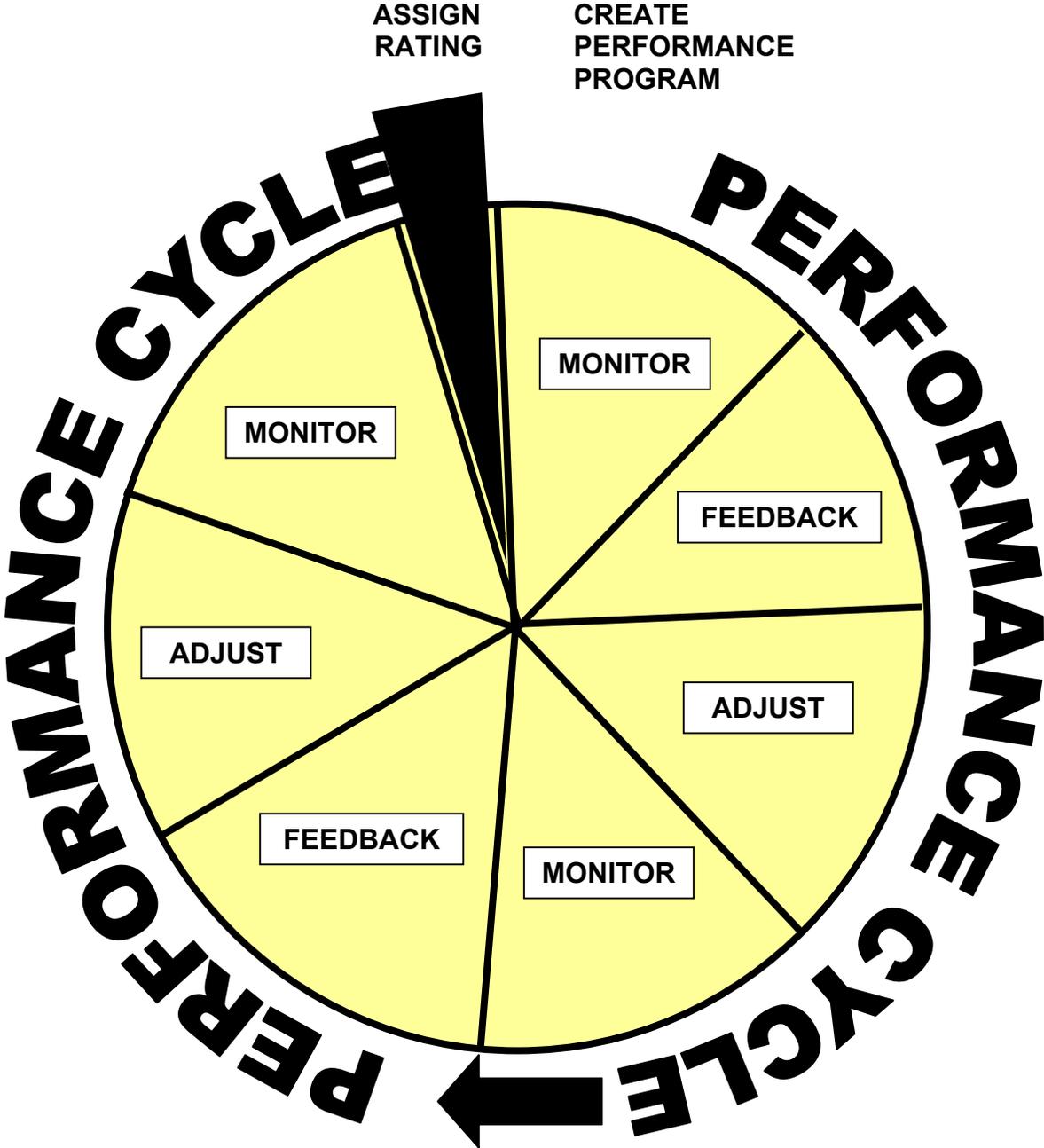


Pie Chart



**Basic steps in the Performance Cycle:**

- Create and write tasks, standards, the performance program, and the supervisory and management expectations.
- Monitor progress of employee against existing work standards, behaviors and organization goals.
- Provide feedback to the employee.
- Make necessary adjustments as a result of feedback.
- Rate the employee at the rating point in the cycle.
- Begin the cycle again, making adjustments if necessary.

## **Difference between Performance Evaluation and the Performance Rating**

- Performance evaluation is a cycle: constant, over time, and unending.
- Performance rating is short term; done at a specific time in the evaluation cycle.
- Problems in rating employees normally stem from inadequacies in other parts of the evaluation cycle.
- A rating which surprises an employee is often the best indicator of an inadequacy in the evaluation cycle.

Since September, 2002, all new staff go through the New Employee Orientation Process. During this process, and Individual Development Plan will be created for the individual in consultation with the supervisor and possibly the training coordinator for that employee.

The IDP along with Performance Evaluation, should give the employee the answers to the following questions:

1. What Am I Expected To Do?
2. How Well Am I Doing?
3. What Are My Strengths And Weaknesses?
4. How Can I Do A Better Job?
5. How Can I Contribute More?

## **WHY PERFORMANCE EVALUATIONS FAIL**

- Evaluator does not know what employee has done
- Performance high points and low points are discussed in generalities versus specifics
- Evaluator not skilled in determining current level of performance
- Evaluator fails to set specific objectives for interview
- Neither evaluator or employee adequately prepared
- Self-evaluation is ignored or minimized
- Evaluation only historical rather than historical and developmental
- Evaluation interview is one-way communication.
- Too much emphasis on filling out form and not enough on problem solving/planning
- No mechanism for follow-up prior to next review.

## **PERFORMANCE EVALUATION CHARACTERISTICS**

As a result of court cases related to these doctrines, a performance evaluation process should include the following characteristics:

- The overall evaluation process should be formalized, standardized and made as objective as possible.
- The performance evaluation system should be as job related as possible.
- A thorough, formal job analysis for all employment positions being rated should be completed. This is usually done at a higher level in the organization.
- Although useful, subjective supervisory ratings should be considered as only one component of the overall evaluation process.
- Evaluators should be adequately trained in the use of evaluation techniques that employ written qualification criteria for transfer or promotion decisions.
- Evaluators should have substantial daily contact with the employee being evaluated.
- If the evaluation involves various measures of performance, the weight of each measure in relation to the overall assessment should be fixed.
- Opportunities for promotion or transfer should be posted and the information made available to all interested individuals.
- Whenever possible, the evaluation should be conducted by more than one evaluator or include a review process. All such evaluations
- should be conducted independently.
- The administration and scoring of performance evaluations should be standardized and controlled.

## **STEPS IN THE PERFORMANCE EVALUATION CYCLE FOR CSEA – REPRESENTED EMPLOYEES**

- Meet with individual employees at the beginning of their evaluation cycle to discuss performance evaluation, unit responsibilities and how the individual's job relates to the work of the unit.
- Preparation of the performance program by the supervisor, stated in terms of tasks and standards.
- Review of the performance program by designated higher-level reviewer.
- Discussion of the finalized performance program with the employee.
- Supervisor monitors performance throughout the cycle.
- Appraisal meeting with employee at six-month point (optional but highly recommended).
- Appraisal meeting with employee at twelve-month point prior to assigning a rating.
- Supervisor prepares rating.
- Rating is reviewed by designated management reviewer.
- Final rating discussion with employee.
- Begin cycle over with adjustments made as necessary.

## **STEPS IN THE PERFORMANCE EVALUATION CYCLE FOR PEF –REPRESENTED EMPLOYEES**

- Meet with individual employees at the beginning of their evaluation cycle to discuss performance evaluation, unit responsibilities and how the individual's job relates to the work of the unit.
- Optional preparation by employee of employee worksheet (Part I) for performance program.
- Preparation of the performance program by supervisor, stated in terms of tasks/objectives and standards.
- Review of the performance program by designated higher-level reviewer.
- Discussion of the finalized performance program with the employee.
- Supervisor monitors performance throughout the cycle.
- Recertification appraisal meeting with employee at six-month point (mandatory).
- Optional preparation by employee of employee worksheet (Part II) in preparation for rating.
- Appraisal meeting with employee at twelve-month point prior to assigning a rating and after employee prepares Part II of the employee worksheet.
- Supervisor prepares rating.
- Rating is reviewed by designated management reviewer.
- Final rating discussion with employee.
- Begin cycle over with adjustments made as necessary.

## **EMPLOYEES DESIGNATED MANAGEMENT/CONFIDENTIAL**

Supervisors administer the performance evaluation program as required by OCFS performance evaluation program for its **M/C employees**. However, the following format is suggested during this yearlong process.

- The supervisor and employee meet at the beginning of the evaluation period to discuss responsibilities, goals, objectives, and priorities for the rating period and to develop a performance program against which the employee will be evaluated.
- Using input from the employee (an employee worksheet can be useful), the supervisor puts the proposed performance program in writing. It should then be discussed with the employee, finalized, and the employee given a copy.
- The supervisor observes and informally reviews the employee's performance throughout the evaluation period, providing feedback and/or counseling as needed or appropriate.
- A mid-point six-month review by the supervisor is recommended, but not required. At this time, the supervisor and employee meet to discuss job performance to date, and to reaffirm or revise the performance program.
- Near the end of the evaluation period, the supervisor prepares an appraisal of the employee's performance. The supervisor may elicit input from the employee at this time.
- After receiving any employee comment (or after the deadline for this has passed), the supervisor finalizes the employee's evaluation using the agency's appraisal system. If the agency has a reviewing process, the reviewer does so at this time.
- The supervisor discusses the evaluation with the employee and provides a copy to the employee. It may be appropriate at that time to begin the process anew for the next rating period.

## CHARACTERISTICS OF AN EFFECTIVE EVALUATOR

Circle the number that best reflects where you fall on the scale. The higher the number, the more the characteristic describes you. When you have finished, total the numbers circled in the space provided.

- |   |                      |
|---|----------------------|
| 1. I like being responsible for productivity.                               | 1 2 3 4 5 6 7 8 9 10 |
| 2. I like people, and enjoy talking with them.                              | 1 2 3 4 5 6 7 8 9 10 |
| 3. I don't mind giving constructive feedback.                               | 1 2 3 4 5 6 7 8 9 10 |
| 4. I give praise freely when it is earned.                                  | 1 2 3 4 5 6 7 8 9 10 |
| 5. I am not intimidated by workers who tell me what they really think.      | 1 2 3 4 5 6 7 8 9 10 |
| 6. I seek new ideas and use them whenever possible.                         | 1 2 3 4 5 6 7 8 9 10 |
| 7. I respect the knowledge and skill of the people who work for me.         | 1 2 3 4 5 6 7 8 9 10 |
| 8. I follow up to be sure commitments, goals and standards are being met.   | 1 2 3 4 5 6 7 8 9 10 |
| 9. I am sensitive to the needs and feelings of others.                      | 1 2 3 4 5 6 7 8 9 10 |
| 10. I am not worried by employees who know more about their work than I do, | 1 2 3 4 5 6 7 8 9 10 |

**TOTAL**\_\_\_\_\_

A score between *90 and 100* indicates that you have excellent characteristic to conduct effective evaluations. A score between *70 and 89* indicates that you have significant strengths but also some improvement needs. Scores between *50 and 69* reflect a significant number of problem areas. Scores below *50* call for a serious effort to improve. Make a significant effort to grow in any area where you scored *6 or less*, regardless of your total score.

## **RESOURCES**

- **Understanding Agency Expectations**  
William Hasselbach (518) 473-7848  
Donna Palasz (518) 473-7839
- **Developmental Training Offerings**
- **Partnership Training Opportunities**  
**Conflict**  
**Managing Change**  
**Practical Skills**  
**Facilitating and Leading Work Teams**
- **Classroom Training**
- **Training Coordinator**

### **BUREAU OF TRAINING- Training Centers**

Central NY Training Center	Munna Rubaii	(607) 539-6671
Western NY Training Center	Debra Peete	(585) 533-2628
Tryon Training Center	Richard Neese	(518) 762-4681 ext 444
Parker Training Academy	Eileen Parr	(845) 758-4651
Home Office	Marilyn Bauer	(518) 473-4454
NYC Training Center	Terry Keith-Smith	(212) 961-4111

## **PLAN FOR FUTURE**

### **#1 – Put it in Writing**

- Selected improvement goals
- Methods for achieving each improvement
- Deadlines for each improvement and evidence that it has been reached, and
- Support and resources needed to accomplish the improvements

### **#2 – Follow Through**

- Schedule periodic meetings for the next performance evaluation
- Be prepared to offer motivational and formative feedback as needed
- If the improvement plan is not working, be prepared to change it

### **#3 – Reflect**

- What was done well?
- What was done poorly?
- What was learned about the employee?
- What was learned about self and job? Did employee give you any feedback that gave you some new insights about yourself?
- What, if anything, will you do differently the next time?

## Teleconference Objectives

- Explain the importance of completing the performance evaluations in a timely manner including procedures related to performance evaluations
- Develop a performance program that lists the important tasks and objectives of the job as well as clear standards by which the employee's performance will be evaluated

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## Teleconference Objectives

- Describe the supervisor's role as a coach in establishing and monitoring performance
- Compare the processes for CSEA, PEF and M/C represented employees and explain how they affect the administration of the Performance Evaluation Program/Process

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## Teleconference Objectives

- Describe the procedural steps for the evaluation process, including documentation of communications and meetings to ensure performance objectives are being met

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## Why Should We Learn More?

- Not just a paper exercise
- Focus on process not form
- Vital part of organization's capacity to build and plan
- Should be seen as a tool to build necessary skills in the organization

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## Performance Cycle



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## Basic Steps In Cycle

- Create & write tasks, standards, the performance program & supervisory/mgt expectations
- Monitor progress of employee against existing work standards
- Provide feedback to the employee

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## Basic Steps In Cycle

- Make necessary adjustments following feedback
- Rate employee at the rating point in the cycle
- Begin the cycle again making adjustments as needed

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## Performance Evaluation vs. Rating

- Evaluation is a cycle, constant, unending
- Rating is short term; done at a specific time in cycle
- Problems in rating employees normally stem from inadequacies in other parts of evaluation cycle
- Rating that surprises an employee is best indicator of inadequacy of cycle

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## Individual Development Plan Answers

What am I expected to do?  
What Are My Strengths And Developmental Needs?  
How Well Am I Doing?  
How Can I Do A Better Job?  
How Can I Contribute More?

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## Why Evaluations Fail

- Evaluator doesn't know what employee has done
- Performance high & low points are discussed in generalities
- Evaluator not skilled in determining current level of performance
- Evaluation fails to set specific objectives for interview

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## Why Evaluations Fail

- Neither evaluator or employee are prepared
- Self-evaluation is ignored or minimized
- Evaluation is only historical without being developmental
- Interview is one-way communication
- Too much emphasis placed on filling out form
- No mechanism for follow-up

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## Process Should Include:

- Substantial daily contact between evaluator and employee
- The weight each measure of performance carries should be fixed
- Information on promotion or transfer opportunities made available to all
- When possible, involve additional evaluators and include a review process
- Scoring should be standardized and controlled

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**How do supervisors know what the employee performance evaluation cycle is?**

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**Is it necessary to complete both a performance evaluation date and a probation report while an employee is on probation?**

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**When an employee changes supervisors during the evaluation period, who has responsibility for doing that evaluation?**

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## **CSEA –Represented Employees**

- **Meet with employee**
- **Create Performance Program**
- **Review**
- **Discuss with employee**
- **Monitor Performance/Provide  
Feedback**

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## **CSEA–Represented Employees**

- **Six-month re-certification  
(optional/recommended)**
- **Appraisal meeting at twelve  
months.**
- **Rate and review evaluation.**
- **Meet with employee.**
- **Continue cycle.**

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## **PEF–Represented Employees**

- **Meet with employee**
- **Create Performance Program**
- **Review**
- **Discuss with employee**
- **Monitor Performance/Provide  
Feedback**

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## **PEF–Represented Employees**

- **Six-month re-certification (mandatory)**
- **Appraisal meeting at twelve months**
- **Rate and review evaluation**
- **Meet with employee**
- **Continue Cycle**

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## **M/C Employees**

- **Meet with employee**
- **Create Performance Program**
- **Monitor Performance/Provide Feedback**
- **Appraisal meeting at 12 months**
- **Rate and review evaluation**
- **Meet with employee**
- **Continue Cycle**

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## **Resources**

- **Understanding Agency Expectations**  
Bill Hasselbach (518) 473-7848  
Donna Palasz (518) 473-7839
- **Developmental Training Opportunities**  
Patsy Murray (518) 473-8763
- **Partnership Training Opportunities**  
Adele January (518) 486-4325
- **Classroom Training**  
Bureau of Training Website  
<http://sdssnet5/ohrd>

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## Training Centers

- **Central NY Training Center**  
Munna Rubaii (607) 539-6671
- **Western NY Training Center**  
Debra Peete (585) 533-2628
- **Tryon Training Center**  
Richard Neese (518) 762-4681 x441

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## Training Centers

- **Parker Training Academy**  
Eileen Parr (845) 758-4651
- **Home Office**  
Marilyn Bauer (518) 473-4454
- **NYC Training Center**  
Terry Keith-Smith (212) 961-4111

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## Virtual Classroom Training

- **Conducting Performance Appraisals**  
Offered each month  
Refer to Bureau of Training website  
Go to <http://sdssnet5/ohrd>  
Click on LearnLinc Virtual Classroom  
Click on Virtual Classroom Schedule

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## Remember...

- The Performance Cycle
- Procedures
- Contractual Agreements
- Self-Evaluation Tool
- Development Opportunities

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## Plan for the Future

#1 Put it in writing

#2 Follow Through

#3 Reflect

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## FINAL WORDS:

- Be visible and available
- Provide appropriate feedback on performance
- Give employees feedback as soon as a problem arises
- Identify the causes of poor performance
- Offer assistance to the employee
- Become familiar with OCFS performance evaluation procedures
- DOCUMENT, DOCUMENT, DOCUMENT!!!

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**O**pen

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