

EDUCATION ADMINISTRATORS (P-3A) BARGAINING UNIT PROMOTIONAL REVIEW SYSTEM

1.0 STATEMENT OF PURPOSE

The purpose of the program is to enhance services to the citizens of Connecticut through a promotional review system that encourages employees to achieve at the highest levels and rewards them accordingly.

2.0 GUIDING PRINCIPLES OF THE PROMOTIONAL REVIEW SYSTEM

2.1 GUIDING PRINCIPLE #1

For the purposes of this program, management will identify career ladders within the classification structure of the Education Administrators (P-3A) bargaining unit. It is recognized that there are employees who are at the top of their respective career ladder as it currently exists. The potential career ladders for this bargaining unit are attached as Appendix A.

2.2 GUIDING PRINCIPLE #2

The results or products of the planning and evaluation program, as they relate to the promotional review system, are to be used for recognizing and rewarding employee performance, recommending needed improvements, facilitating self-evaluation and planning for individual growth.

2.3 GUIDING PRINCIPLE #3

Ample time, communication and resources are to be provided for this achievement-oriented approach to promotion. Management will provide annual training for its managers in the implementation of this promotional review system.

2.4 GUIDING PRINCIPLE #4

Management and labor recognize that this system is designed to accommodate bargaining unit members regardless of which agency employs them. The system shall not be construed to supercede the existing policies, procedures and administrative directives established by the Department of Administrative Services/Personnel Division.

3.0 GENERAL PROVISIONS

3.1 DATE OF IMPLEMENTATION:

The provisions of this document shall take effect immediately upon approval by the members of the Labor-Management Committee charged with developing

the document and may be modified only through the collective bargaining process or by mutual agreement of labor and management.

3.2 P-3A MEMBERSHIP:

The list of classifications incorporated into this document as Appendix B represents the current range of P-3A membership.

3.3 OTHER AVENUES TO PROMOTION:

Notwithstanding any provisions of this system, bargaining unit members may apply for announced vacancies for which they qualify.

3.4 BENEFITS TO THE AGENCY:

The primary benefit to the agency is a well-balanced professional workforce comprising a continuum of employees at various stages of development and experience. It will also reward that creativity which is requisite to the enhancement of education in the State of Connecticut. This will promote long-term growth and stability of operations for the agency.

3.5 BENEFITS TO THE EMPLOYEE:

The employees benefit from the presence of, and management's commitment to, a uniform system of promotional review which:

1. Provides for advancement
2. Encourages growth and professional development
3. Rewards outstanding achievement

3.6 EFFECTIVE DATE OF PROMOTION:

In the event the decision is for promotion, the effective date of promotion shall be the first day of the pay period following: (1) the date of the Bureau Chief's recommendation or (2) the third anniversary date of appointment to the current classification in the agency, whichever is later.

In the event a decision of no promotion is grieved, and the grievance is sustained, the effective date of promotion shall be the first day of the pay period at least two pay cycles, but no more than thirty (30) days, prior to the date the grievance was filed.

4.0 ELIGIBILITY CRITERIA:

Any member of the bargaining unit who has served three (3) calendar years in a job classification in an agency shall be reviewed for the purposes of merit promotion unless the employee declines said review. An employee who after the third year waives the promotional review process may at any time thereafter request a promotional review. When an eligible employee fails to declare whether or not he/she wishes to be reviewed for merit promotion, it shall be understood that the employee has waived the review process. An employee who has received a decision of no promotion may request another promotional review provided one year has elapsed since the date of the prior review.

Management may initiate a promotional review of an employee prior to his/her completion of three (3) years in a job classification in an agency.

5.0 APPLICATION PROCEDURE:

5.1 INITIATION OF PROMOTIONAL REVIEW PROCESS:

The promotional review process is initiated when the employee submits to his/her Bureau Chief the completed Application for Promotional Review. The form to be used is attached as Appendix C.

5.2 TIME LIMITS:

Promotional reviews are to be completed within thirty (30) days of submission of the employee's Application for Promotional Review.

5.3 SUPPORTING DOCUMENTATION:

The following documents must accompany the application for promotional review:

1. Final evaluations for the prior three (3) years. In the event that for a given year no evaluation was prepared or that a signed copy cannot be produced, the employee shall be credited with at least the minimum level of performance acceptable for promotion.
2. A description of the employee's educational background.
3. A narrative describing the employee's duties and responsibilities when he/she was first appointed to the classification in the agency and how the duties and responsibilities and/or the performance of same have changed or remained consistently high since appointment to the classification.
4. A formal job description reflecting current responsibilities.
5. A description of the employee's professional development activities since appointment.
6. A narrative of the employee's accomplishments in and contributions to the field.
7. Such other documentation to support the request for promotion as the employee may wish to submit.

5.4 REVIEW PROCESS:

1. Not earlier than sixty (60) days prior to the completion of three (3) years in a classification in an agency, an employee may submit a written request for promotional review to his/her Bureau Chief.
2. Upon receipt of the completed application and supporting documentation, the Bureau Chief will perform the review based on the evaluation criteria and methods described herein and make a recommendation for or against promotion to the Division Director or Associate Commissioner not later than fifteen (15) days after receipt of the application. The Bureau Chief will provide the employee with a copy

of his/her recommendation to the Division Director or Associate Commissioner.

3. The Division Director or Associate Commissioner will review the recommendation of the Bureau Chief and forward it together with his/her recommendation for or against promotion to the Personnel Administrator not later than seven (7) days after receipt of the recommendation of the Bureau Chief. The Division Director or Associate Commissioner will provide the Bureau Chief and the employee with a copy of his/her recommendation. The Personnel Administrator will review the application and supporting documentation and forward them to the Commissioner, with a copy to the Personnel Administrator.
4. The Commissioner will notify the employee in writing of his/her decision on the request for promotion within seven (7) days of receipt of the recommendation of the Division Director or Associate Commissioner. The Commissioner will provide concurrent copies of his/her decision to the Division Director or Associate Commissioner and Bureau Chief.
5. If the decision of the Commissioner is for promotion, the Division Director or Associate Commissioner will submit a PER 200 requesting reclassification of the employee's position to the Bureau of Human Resources within twenty-one (21) days of receipt of the Commissioner's decision.
6. A Bureau Chief may initiate a promotional review of an employee prior to his/her completion of three (3) years in a classification in an agency by submitting a written review including supporting documentation prepared by the employee to the Division Director or the Associate Commissioner as described above.

6.0 EVALUATION CRITERIA:

6.1 REVIEW OF ANNUAL PERFORMANCE EVALUATIONS:

To be eligible for merit promotion, the applicant's Overall Performance Evaluations for at least one out of the most recent past two years must have a rating of "Excellent" or "Outstanding," and the other evaluations must have a rating of "Fully Successful" or better. When an employee has reached his/her third anniversary of employment but has not yet received a third final evaluation due to the initial date of employment or promotion, the employee's Bureau Chief shall provide an interim evaluation for the purposes of participation in the promotional review process.

6.2 CONTRIBUTIONS TO THE FIELD:

To be eligible for merit promotion, the applicant must present evidence of outstanding contribution to the field or area in which the applicant works.

6.3 EVIDENCE OF PROFESSIONAL GROWTH:

To be eligible for merit promotion, the applicant must present evidence of self-initiated activities that contributed to professional growth. The activities must be relevant to the goals and objectives of the employee's agency. Professional growth may be evidenced by, but is not limited to: (1) active participation in the applicant's most appropriate professional organizations or societies, (2) completion of seminars or workshops, (3) active participation in civic organizations, (4) the development of general or technical skills, (5) academic course work, (6) professional certificates of accomplishment, or (7) Continuing Education Units.

7.0 PROFESSIONAL STAFF PLANNING AND EVALUATION SYSTEM (PSPES):

The parties recognize that the Professional Staff Planning and Evaluation System (PSPES) is an integral part of the Promotional Review System. Therefore, a description of that process and a sample of the forms are attached as Appendix D.

8.0 APPEALS PROCEDURES:

8.1 FIRST "NO PROMOTION" DECISION:

Disputes over a management promotional review that results in a decision of "No Promotion" shall be subject to the grievance and arbitration procedure. In any such arbitration, the arbitrator shall not substitute his/her judgment for that of the reviewing managers in applying the guidelines and criteria for merit promotion but shall consider whether the reviewing managers can be shown to have been arbitrary and capricious. Appeals must be filed within 30 days of receipt of a decision of "No Promotion."

8.2 SECOND "NO PROMOTION" DECISION:

Disputes over a second management promotional review that results in a decision of "No Promotion" shall be subject to the arbitration procedure, including a pre-arbitration step.

APPENDIX A

POTENTIAL CAREER LADDERS

Education Consultant/Vocational Rehabilitation District Director

Associate Education Consultant

Education Service Specialist

Education Service Assistant

Educator Intern

Education Support Technician/Extension Program Associate

Connecticut Careers Trainee (Education Administrators)

Education Supervisor

Supervisor, Orientation And Mobility Program (B.E.S.B)

Education Consultant 2 (B.E.S.B.)(10 Months)

Education Consultant 1 (B.E.S.B.)(10 Months)

State School Principal 2

State School Principal 1

CLASSIFICATIONS WITH NO APPARENT CAREER LADDERS

Education Assistant Librarian

Education Coordinator

Education Projects Coordinator (B.E.S.B.) (C.H.D.I.)

Senior Pupil Services Specialist

APPENDIX B

EDUCATION ADMINISTRATORS (P-3A) CLASS TITLES

Associate Education Consultant

Connecticut Careers Trainee (Education Administrators)

Education Assistant Librarian

Education Consultant

Education Consultant 1 (B.E.S.B.)(10 Months)

Education Consultant 2 (B.E.S.B.)(10 Months)

Education Coordinator

Education Service Specialist

Education Service Assistant

Education Supervisor

Education Support Technician

Educational Projects Coordinator (B.E.S.B.) (C.H.D.I.)

Senior Pupil Services Specialist

State School Principal 1

State School Principal 2

Supervisor, Orientation And Mobility Program (Blind)

Vocational Rehabilitation District Director

APPENDIX C

**APPLICATION FOR PROMOTIONAL REVIEW
EDUCATION ADMINISTRATORS (P-3A) BARGAINING UNIT**

The undersigned requests a promotional review pursuant to Article 11, Section Four of the Education Administrators (P-3A) collective bargaining agreement.

EMPLOYEE _____ DATE _____

AGENCY _____

DIVISION/BUREAU _____

CURRENT JOB CLASSIFICATION _____

DATE APPOINTED TO CURRENT CLASSIFICATION IN AGENCY _____

SUPERVISING BUREAU CHIEF _____

RECOMMENDATIONS

Promotion No Promotion _____
Signature of Bureau Chief Date

Promotion No Promotion _____
Signature of Div. Dir./Assoc. Comm'r. Date

Promotion No Promotion _____
Signature of Commissioner Date

REVIEWED BY BUREAU OF HUMAN RESOURCES:

Signature Date

APPLICATION CHECK LIST

SUPPORTING DOCUMENTATION ATTACHED:

- Copies of the employee's PSPES final evaluation for the prior three (3) years

- Description of the employee's educational background

- Narrative describing the employee's duties and responsibilities when he/she was first appointed to the classification in the agency and how the duties and responsibilities and/or the performance of same have changed since appointment to the classification

- Formal job description reflecting current responsibilities (See attached format)

- Description of the employee's professional development activities since appointment

- Narrative of the employee's outstanding accomplishments and contributions to the field

CONNECTICUT STATE DEPARTMENT OF EDUCATION

JOB DESCRIPTION FORMAT

DATE _____

OFFICE/BUREAU, DIVISION _____

PCN (Position Control Number) _____

EMPLOYEE NAME
(OR "VACANT" IF POSITION UNFILLED) _____

TITLE

REPORTS TO

SUPERVISES

JOB GOAL:

PERFORMANCE RESPONSIBILITIES:

APPENDIX D

STATE DEPARTMENT OF EDUCATION PROFESSIONAL STAFF PLANNING AND EVALUATION SYSTEM INCLUDING MERIT PAY PROVISIONS

P-3A Bargaining Unit

Special Committee on
Merit Evaluation and Pay

Connecticut State Department of Education
P-3A Bargaining Unit
July 1, 1990

The Guiding Principles of the Planning and Evaluation System

Statement of Purpose

The purpose of the program is to enhance services to the citizens of Connecticut, improve employee performance and provide fair and equitable financial rewards for meritorious achievement.

Guiding Principle #1

Performance should be evaluated in terms of the degree to which activities have met cooperatively planned goals and objectives appropriate to the individual's professional role.

Guiding Principle #2

Ample time, communication and resources are to be provided for this goal-oriented approach to staff planning and evaluation. Management will provide annual training for managers and employees in the implementation of this evaluation system.

Guiding Principle #3

The results or products of the planning and evaluation program are to be used for: recognizing employee performance; recommending needed improvements; validating the staff selection and placement process; facilitating self evaluation; planning for individual growth and development; determining personnel actions which, when consistent with contract language, may affect the receipt of salary increments and continued employment; and implementing the merit pay provisions.

Guiding Principle #4

The planning and evaluation program will: clearly define the means by which staff members are evaluated; be more diagnostic than judgmental; take into account influences or constraints on staff members' job performance; provide opportunity for staff members to evaluate themselves; maintain and enhance the self image and self respect of staff members; encourage staff member creativity and experimentation; and make ample provision for clear, personalized and constructive feedback.

Guiding Principle #5

In addition to the short-term results assessed through specific, annual employee objectives, the planning and evaluation program will encourage and reward the attainment of objectives with long term or lasting effects and objectives that require more than one year before results can be determined.

The Participants and the Process

Performance planning and evaluation involves primarily the immediate manager (e.g., Bureau Chief) and individual professional staff employees within his or her jurisdiction. It is an interactive process that provides for exchange between the participants. Furthermore, it is a systematic process with well-defined procedures and sequence. This section of the planning and evaluation procedure describes the interaction between the manager and the employee and identifies the procedures to be used.

These procedures alone do not provide an effective system. Employees and managers must adopt a rigorous attitude towards implementation and a sense of confidence, trust and communication between all participants.

A. Planning and Evaluation Period

The basic planning and evaluation cycle extends over a twelve-month period (July 1 to June 30). Agency planning tasks and individual assignments are to be done by June for objectives to be implemented on July 1 through June 30th of the subsequent year. Although the formal annual planning must be prepared by June, planning and evaluation efforts must occur throughout the year.

An interim evaluation is to be done in January for the measurement of progress toward each employee objective. By May 15, the employee does a self-evaluation for each objective. By June 15, managers complete the end of year appraisal. Merit evaluation payments are made as soon as possible in July immediately following the evaluation year.

B. The Mutual Setting of Performance Objectives

During the period May through June, managers will confer individually with professional staff members for the purpose of mutually setting performance and professional growth objectives for the coming year. Prior to this conference, the staff member will formulate his or her own objectives as he or she understands his or her job assignment. The manager will review Agency goals and projected responsibilities with individual staff members. The purpose of the objective-setting conference is to establish a mutually acceptable statement of objectives that will serve as a basis for evaluating the individual's performance. The staff member has the opportunity to present his or her proposed objectives, his or her plans for carrying out these objectives (including major tasks, resources needed, and time schedule) and the indicators to demonstrate achievement of objectives. If the manager or employee proposes adjustments, the work load, feasibility, appropriateness for the individual and other similar matters should be discussed. In the unlikely event that mutual agreement cannot be reached, the issue may be appealed through the appropriate management chain of command.

All objectives for the planning and evaluation program should be in writing as formal objectives, including those that pertain to the development of professional traits and qualities in the staff member.

When a statement of objectives and performance expectations is determined, each objective will be described on a separate page, using the Planning Section of PSPES Form A (Sec. 1-7). Employees shall have no more than five major objectives; thus, no more than five PSPES Form A pages should comprise the annual planning for one staff member. A signed and dated copy of these pages will be kept by both the manager and the staff member.

C. Progress Check

During the month of January, the manager and staff member will meet to review progress toward the achievement of objectives. The staff member will present his or her assessment, and the manager will contribute his or her ideas. Objectives toward which there has been little or no progress will be reconsidered in terms of their importance and probability of being reached by the end of the fiscal year. Objectives will be reviewed with the purpose of assuring their accomplishment through more attention by the manager, use of alternative approaches, readjustment of staff member's time and resources, or the assignment of additional personnel to work toward the objectives. A record of this mid-year review is to be kept on Section 8 of PSPES Form A.

D. Revision of Objectives, Priorities, and Outcome Indicators

As the year progresses, needs not anticipated may arise, unexpected difficulties may be encountered, or new priorities may develop. Therefore, at any time during the year either the manager or the staff member can initiate changes in objectives or outcome indicators provided that such changes are jointly arrived at. Some objectives may be rejected from further pursuit. Others may be modified. New objectives may be substituted for ones achieved or discarded. Since significant changes of the type suggested will alter the basis on which the individual will be evaluated at year's end, a written statement of such changes should be recorded on the proper PSPES Form A sheets, with staff member and manager initials and the date of revision. These revised copies will be kept by both the manager and the staff member.

E. Arriving at Yearly Evaluation

During the period May 15 to June 15, the manager and the staff member will schedule an evaluation conference for the prior year's work plan. Prior to the conference the employee will complete Section 9 of PSPES Form A as a self-evaluation. Additionally, the employee shall prepare a memorandum of annual accomplishments.

The agenda for the conference is a joint review of the staff member's Form A's, and completion of Form B by the manager.

The evaluation conference provides the opportunity for the manager and the staff member to discuss observations and to compare evidence on the achievement of objectives. Such a review should include:

1. Judgment on the degree to which the objectives were met;

2. Identification of factors which affected progress toward attainment of objectives; and
3. Identification of next steps such as redefining objectives, revising expectations, correcting impeding conditions, providing needed resources, trying different approaches, implementing personal development plans, etc.

At the evaluation conference, the completed Form B will be provided to the staff member for his or her review. The staff member will indicate having received and reviewed a copy of the document. The original signed copy of this document (Form B) is transmitted by the manager to the appropriate Agency officials and is eventually transmitted to the Bureau of Human Resources.

Signed copies are kept by the manager and the staff member. A staff member choosing to appeal the evaluation should follow the procedures described in the P-3A Education Administrators Unit contract. Please note, however, that merit evaluations and their attendant pay supplements are neither grievable or arbitrable. Any employee may appeal his/her merit evaluation directly and solely to the Commissioner of Education or designee, whose judgment shall be final and binding on all parties.

F. Evaluating the Effectiveness of the Planning and Evaluation Process

This evaluation process, including all procedures and instruments and the merit pay component, shall be continuously reviewed by the labor/management committee for the purpose of evaluating fairness, effectiveness and attitudes. Listed below are some of the evaluation questions that will be researched:

1. Has performance within the unit improved since the implementation of the Merit Evaluation Program?
2. Does each employee have an equal chance to receive a rating of outstanding, regardless of work assignment.
3. Is there a disproportionate number of any special group of employees (e.g., race, sex, age, bureau) at the low end of the PSPES rating scale? If so, is this justified?
4. How consistent and comparable are rater judgments (a) within bureaus and (b) across bureaus?
5. What are the attitudes of employees and managers toward the PSPES and the Merit Evaluation Program? This evaluation question will be partially addressed by the questionnaire in Appendix A.

Annually, each employee will be encouraged to complete the PSPES Survey. The Labor/Management Committee will interpret the data from the survey and propose system changes, if necessary, to the Commissioner. In addition, annual department wide data analyses (by bureau and division; race and sex; job class; and previous evaluation rating) on the evaluations and merit pay awards, which also protect individual employee confidentiality, shall be provided to the Labor/Management Committee by Management.

G. Instructions for PSPES Form A

These instructions are provided so the staff members and managers will have a better understanding of these guiding principles, as they apply to the planning document.

Section 1 Staff members should review the Agency source for PSPES objectives, such as the Comprehensive Plan for Education when beginning the annual planning process. Coordination of individual assignments in this effort will be at the Unit and Bureau level.

The "Reference #" is provided so that the agency can codify and analyze the development of resources. If a coding system is provided (e.g., technical assistance = 100; on-site technical assistance = 110), the appropriate reference number should be entered here. If this "Reference #" section is to be used, instructions will be provided.

Employees shall have no more than five major PSPES objectives for a year; that limit is not intended to be the norm.

Section 2 defines the objective as it pertains to the staff member. Measurable and observable terms should be used in this section.

Section 3 should contain major tasks that provide the staff member and the manager with milestones to be achieved during the year concerning the objective. Although the number of major tasks per objective will not exceed five, they should also provide a good picture as to the amount of work to be done for the objective. Detailed planning and further task analysis activities are not part of the PSPES activity.

Section 4 should state in a few words the observable evidence that can serve to indicate that the objective has been achieved.

Section 5 accommodates the anticipated starting and completion dates for the staff member's objective. For the sake of brevity, if Section 5 is left BLANK, the full year (July 1 to June 30) will be assumed. Some objectives will have an agreed upon completion date beyond the rating year. This fact will be taken into account in the manager's rating of the achievement of that objective.

Section 6 calls for an estimate of the staff member's workload that will be required for this objective for the coming year. The total of all of the objectives for a staff member should be 100%.

Section 7 should contain a list of essential resources for completion of this objective. For the sake of brevity, resources presently or normally available need not be listed.

NOTE: The above seven sections comprise the planning aspect of PSPES, to be completed before the year begins. The "Revision Section", located below Section 7, is to be used only if revisions occur during the year. The next section, Section 8, is completed in January of the PSPES year.

Section 8 should contain brief notes for each objective as a record of the interim progress check meetings. The results may be stated numerically or with percentages for objectives that lend themselves to quantification. Both the staff member and the manager should initial Section 8 for each objective during the progress check meeting.

Section 9 should contain staff self-evaluation results for the end of the year. This section should be completed in preparation for the annual evaluation conference and initialed by the staff member. Guideline criteria for rating objectives are provided later in this document.

Self Evaluation

Each employee's annual self-evaluation is a critical aspect of the managerial summary evaluation of the employee's performance. Management cannot effectively and equitably implement the PSPES program without substantial self-evaluation.

On or before May 15, each employee shall complete the Self-Evaluation sections of Form A and prepare a narrative summary memorandum of annual accomplishments. This memorandum should cite specific indicators of success, status of projects, identify documentation available (and attach such documentation, as appropriate).

The memorandum should be no more than three pages, organized by objective, and with a summary and other accomplishments section. The self-evaluation should also include explanation of any lack of progress.

To accomplish the above, it is Management's burden to ensure adequate communication throughout the year.

H. Instructions for PSPES Form B

Form B is the end-of-year staff appraisal form. It is a formal process for reviewing the work of individual staff members for the purpose of evaluation and professional development. This evaluation is the responsibility of the manager. Guideline criteria for rating objectives are provided later in this document.

Section 1 is the manager's overall performance evaluation of the staff member. Criteria for overall performance evaluation are provided later in this document.

Section 2 is the identification of factors that affected progress toward the attainment of progress and long-term results.

Section 3 should be one of two major areas that drive the appraisal system.

This section should deal with professional development issues that would lead to personal growth in the staff member, growth which would facilitate the staff member's achievement of goals. Professional development recommendations should be viewed from the point of view of both strengthening weaknesses and building on strengths of staff members. It also should reflect the constructive intent of Guiding Principle #4. In this section, the manager should redefine objectives, revise expectations, correct impending conditions, provide needed resources and consider trying different approaches.

Section 4 is the manager's appraisal of the staff member's work and reflects the staff member's achievement level on individual objectives. Objectives which have been deleted or postponed, as a result of interim reviews, need not be included, and such action should be properly noted on Form A, Section 8. However, a deleted or postponed objective may be rated for the period of time the staff member invested in attempting to achieve the objective. Objectives in this category, which are rated, should be noted with an asterisk.

Section 5 certifies that the manager did execute Form B.

Section 6 certifies that the staff member received the document. It is not evidence that the staff member agrees with the appraisal.

Criteria for Achievement of Objectives

A description of criteria for achievement of objectives follows:

Achieved means that the objective was fulfilled or completed. The quality of the work, in terms of process or outcome, was "high" (on a scale of low, fair and high). Any of the following types of outcomes would be evidence of an objective that was achieved:

- "High" effectiveness ratings, based on an evaluation of the work.
- Follow-up requests or unsolicited testimony from the beneficiaries of the work, suggesting the high quality of the work.
- The objective/project was completed without major problems.
- The objective served the expected number of recipients, with variation due to factors other than the quality of the work.
- Materials for the objective/project are high quality, making a professional contribution to the area.
- Quantitative measures of project processes and/or outcomes are as expected.

Partially Achieved means that the objective/project was not completely met. While some of the tasks relating to the objective may have been achieved, there were qualitative or quantitative deficiencies sufficient enough not to warrant a rating of "Achieved". Any of the following types of outcomes would be evidence of an objective that was "Partially Achieved":

- The number of recipients benefiting from the project was significantly lower than expected, due to the quality of work or the efforts put forth.
- The results of the project were of poor quality or missing.
- Materials for the project were of poor quality or missing.
- The project was disorganized, so that quality of outcomes suffered.
- The project outcomes were quantitatively lower than expected.

Not Achieved means that the objectives/project was not started or was not significantly completed in a quantitative sense.

Criteria For Overall Performance Evaluation

The following are the five levels of overall performance evaluation used in the PSPES System. Of these five ratings, the first four are to be considered satisfactory performance under the provisions of Article 11, Section One. For each, criteria are provided.

Outstanding A rating of outstanding indicates that an employee's accomplishments distinguish the individual and the agency

- Achievements are substantially in excess of job requirements
- Makes a major contribution to the bureau, agency or field
- Consistently performs in a manner which is exceptional
- Assumes responsibility and takes on many more duties than required
- Regularly demonstrates significant initiative and requires almost no supervision
- Demonstrates superior teamwork on a continual basis with colleagues and constituents

Excellent A rating of excellent indicates that the employee surpasses performance expectations

- Job requirements are met in all areas and many are above expectation
- Shows initiative to improve own performance and that of the bureau
- Quality of work is generally superior and consistently professional
- Self-motivated and requires minimal direction
- Consistently works well with colleagues and constituents

Fully Successful A rating of fully successful indicates that the employee meets overall performance expectations

- Job requirements are met in all areas and may be surpassed in some
- Competent in job requirements (including job description) and responsibilities of the position
- Quality of work is acceptable and professional
- Requires some direction
- Occasionally demonstrates initiative
- Works well with colleagues and constituents

Needs Improvement A rating of needs improvement indicates that the employee is minimally proficient and needs to improve performance in order to be fully successful

- Job requirements are met with significant exceptions.
- Minimally proficient in job requirements and responsibilities of the position
- Requires direction with timelines, scope or thoroughness
- Quality of work is such that it occasionally needs revision
- Occasionally works well with colleagues and constituents

Unsatisfactory A rating of unsatisfactory indicates that the employee is not meeting the expectations of performance necessary for continued employment

- Job requirements are not substantially achieved
- Work quality and quantity fall below job requirements
- Requires continuous and substantial direction
- Quality of work is such that it consistently needs revision
- Confrontational with colleagues and constituents

The Overall Performance Evaluation is management's considered judgment of the employee's total production during the year. It is based on:

1. The employee's accomplishment of the annual objectives (see Form B)
2. The employee's self-evaluation (see Form A, Section 9)
3. The employee's demonstration of the skills, knowledge and competencies required in the job description.
4. The employee's overall contribution and impact on the mission of the agency and/or on the profession.
5. The first line manager's judgment of employee performance, reviewed by the second line manager and approved by the Commissioner (to ensure agency-wide equity).

In addition to accomplishments and contributions to the profession during the year, due consideration should be provided to the long-term contributions made by staff members. The overall performance evaluation should reward and recognize the impact of major efforts that have an effect beyond one year.

Merit Pay

A. Employees on the salary schedule who are not eligible for an annual increment and who do not receive an annual increment during a contract year shall receive a lump sum merit pay supplement as follows:

<u>Overall Performance Evaluation</u>	<u>% of Annual Salary</u>
Outstanding	4.5%
Excellent	3.5%
Fully Successful	2.5%

B. Employees on the salary schedule who are eligible for an annual increment and who receive an annual increment during a contract year shall receive a lump sum merit pay supplement as follows:

<u>Overall Performance Evaluation</u>	<u>% of Annual Salary</u>
Outstanding	2.0%
Excellent	1.5%

C. Any merit pay supplement shall not be included as part of the base salary.

D. In the event there are insufficient monies to fully fund the above merit pay supplements, a pro-rated reduction shall be applied to the merit pay supplements. For example, if there is a 25% shortfall in available funds to fully fund the merit pay supplements, then each employee will have the dollar amount of their lump sum payment reduced by 25%.

Cautions in PSPES Implementation

The PSPES system is different from a "trait-based" employee evaluation system. The system is designed to reward performance rather than traits. One goal of this system is to work toward the elimination of unintended bias that results from likable or unlikable traits. In keeping with the mission of the Agency, it is performance both short-term and long-term that is desired; perceived employee traits are not relevant.

A number of specific cautions follow:

1. Managers must be able to ensure that they are not rating professional staff on criteria other than those explicitly described in this document.
2. Employees must have an equal chance to achieve an Outstanding rating.
3. Appearances of favoritism, either to individuals or by type of employee assignments, must be avoided.

**PSPES FORM A - PLANNING AND RESULTS
PLANNING SECTION**

YEAR BEGINNING JULY 1, _____

Page ___ of ___

____ Staff Init. ____ Mgr. Init. Date _____ Staff Name _____

1. SOURCE OF THE OBJECTIVE (specify the Source and Agency Reference #):

SOURCE

REFERENCE #

2. OBJECTIVE FOR THE STAFF MEMBER:

3. MAJOR TASKS TO ACHIEVE OBJECTIVE:

4. INDICATOR(S) OF ACHIEVEMENT:

5. BEGINNING & END DATES FOR OBJECTIVE:

From _____ - To _____

6. ESTIMATE OF WORKLOAD _____ %

7. RESOURCES NEEDED:

Revision Section:

____ Staff Init. ____ Mgr. Init. Date Revised _____

RESULTS SECTION

8. JANUARY INTERIM RESULTS:

DATE _____

Progress toward achievement of objective:

Staff Initials _____ Mgr. Initials _____

9. END OF YEAR RESULTS (Staff Self-Evaluation) DATE _____

Achievement of objective:

- Achieved
- Partially Achieved
- Not Achieved

Comments:

Attachments

Staff Initials _____

**PSPES FORM B
END OF YEAR APPRAISAL**

NAME OF STAFF MEMBER _____

BUREAU _____

DATE OF EVALUATION _____

1. OVERALL PERFORMANCE EVALUATION (see criteria):

Outstanding Excellent Fully Successful Needs Improvement Unsatisfactory

2. MAJOR FACTORS WHICH AFFECTED RATING IN #1:

3. PROFESSIONAL DEVELOPMENT ACTIVITIES AND ISSUES AND CONCERNS THAT HAVE IMPLICATIONS FOR THE DEVELOPMENT OF THE NEXT PSPES:

(use reverse side if necessary)

4. ACHIEVEMENT OF OBJECTIVES

OBJECTIVE (Refer to the attached pages by page number; leave unneeded numbers blank.)

<u>Page</u>	<u>Brief Objective Name</u>	<u>% of Time</u>	<u>Partially Achieved</u>	<u>Not Achieved</u>	<u>Achieved</u>
1.	_____	_____	_____	_____	_____
2.	_____	_____	_____	_____	_____
3.	_____	_____	_____	_____	_____
4.	_____	_____	_____	_____	_____
5.	_____	_____	_____	_____	_____

Use * to indicate a rated objective which was deleted or postponed (see Form A).

4. SIGNATURE OF MANAGER

_____ DATE

6. SIGNATURE OF STAFF MEMBER ACKNOWLEDGING RECEIPT OF THIS DOCUMENT

_____ DATE

7. SIGNATURE OF DIVISION DIRECTOR OR ASSOCIATE COMMISSIONER

_____ DATE

8. SIGNATURE OF COMMISSIONER

_____ DATE

Appendix A

PSPEs TASKS and TIMELINE

<i>STEP</i>	<i>TASKS</i>	<i>TIMELINE</i>
SETTING OBJECTIVES	Staff Member and Manager meet to develop measurable objectives for year using Form A, sections 1-7. Revise during year as necessary, completing revision section of Form A.	3rd Friday in July Objectives finalized
MID-YEAR REVIEW	Staff Member and Manager meet to discuss progress and discuss alternative approaches to problems. Enter interim results on Form A, section 8.	3rd Friday in January
SELF-EVALUATION	Staff Member completes Self-Evaluation section of Form A and prepares a narrative summary memorandum of annual accomplishments, citing specific indicators of success. Manager meets with each Staff Member: listens, asks questions and discusses.	4th Friday in April
ANNUAL RATING	Manager develops tentative overall ratings, and meets with Assoc. Commissioner, Division Director or Superintendent to review tentative ratings and to finalize. Manager completes End of Year Appraisal Form B and shares ratings with staff. Staff member signs appraisal and may request a second meeting.	2nd Friday in May Rating finalized
FINAL RATINGS DUE IN BUREAU OF HUMAN RESOURCES		