

Guidelines for Agency-Specific
Personnel Performance Evaluation Instruments
Spring 2007

Requirements

DAS, as custodian for state human capital policy, has prepared a list of recommendations all agency substitutes for OPRS should consider to qualify as acceptable alternatives to the state forms used to rate employee performance. Evidence of complying with these standards will be the criteria used by DAS for approving agency-specific personnel performance systems. And any changes to agency procedure or forms will need to be reviewed at DAS whenever they occur. No unapproved forms or procedures have standing in any level three appeal. An acceptable agency alternative to OPRS...

- does not violate any terms of a collective bargaining agreement in place in your agency.
- provides a clear and simple statement of your agency's mission.
- derives from a current strategic plan encompassing all operating units in your agency.
- shows by narrative or diagram that all operating unit goals and objectives derive from the agency mission statement
- shows by narrative or diagram that all individual goals derive from unit goals
- indicates how each individual goal can be traced back to the agency mission.
- states all goals in empirical or behavioral terms
- presents indicators or measurements for monitoring and recording progress toward objectives and targets for each goal
- presents a reasonable schedule for monitoring and recording progress toward all unit and personnel goals to insure timely interventions
- provides for a method to rate each person on each goal.
- defines ratings: e.g. *meets, exceeds, does not meet*
- provides for a paper trail documenting timely feedback sufficient to turnaround under-performance before the close of the evaluation period
- imposes a obligation on supervisors to prepare action plans for improvement, reform or personal growth
- imposes written recordkeeping requirements on supervisors to insure appeals can be defended successfully with relevant evidence of consistent professional supervisory conduct .
- must be wholly and centrally available for DAS review/audit.

Procedure

1. Agency HR heads should notify DAS by letter that their agency plans to develop its own personnel evaluation instrument(s).
2. Submit two copies of all forms to be used in the evaluation by the annual deadline.
3. Submit all documentation to demonstrate meeting the requirements set forth above or explanation to justify not complying.
4. Notify DAS of at least one professional agency person who will assume operational accountability for completeness and quality issues for each evaluation cycle in the agency.
5. Submit in a timely fashion all revisions to the agency strategic plan that may impact evaluations and submit all revisions to working documents prescribing staff responsibilities and goals that will be evaluated during the current evaluation cycle.
6. Keep all completed forms on site and subject to review consistent with relevant record retention requirements.
7. Confirm with DAS annually that the agency has completed the state evaluation or an approved alternative for all employees in the classified service.
8. Notify DAS of changes in agency policy or procedure when they occur with copies of revisions for DAS approval.
9. Complete in a timely fashion requests or forms that seek facts and evidence when level three appeals from an employee reach DAS for review.

DAS Assistance

DAS will review all agency alternatives to OPRS and respond in writing with its finding. DAS understands that agency needs and abilities will vary for a variety of reasons and that well intentioned initiatives to depart from OPRS may need the help of trained HR professionals who can guide others with less experience to craft effective tools and to ask the right questions to insure all relevant issues and relevant remedies get proper attention.

DAS provides for annual training in the elements of strategic planning and can schedule additional training when demand justifies it. DAS can also provide consulting services dealing with topics like goal setting, goal construction, measurement, indicators, monitoring, giving feedback and personnel record keeping. DAS can also assist agencies with developing agency-specific forms and procedures.

Contact the DAS Human Resources' Classification and Recruitment Unit for these services or to help you with questions related to all aspects of performance leadership, management or measurement. Service, solutions and support is our business. And you are our customer. ¹

¹ Prepared by Bill J. Lydon for DAS/HRD, May 2007.