

Performance Evaluation System (PES) Instruction Guide

The State of New Jersey Performance Evaluation System (PES) Program Completion Instructions

INTRODUCTION

Performance assessment is an important part of organizational life. Taken seriously, it enhances organizational effectiveness and efficiency and for public sector organizations, it reduces the cost of doing business and therefore saves tax dollars. As such, the Department of Personnel is committed to ensuring that the process is understood and that completion of the forms is done accurately.

This document will take you step by step through the process of completing the Performance Evaluation System (PES) document. A blank copy of each section of the PES document will be shown followed by a brief description. You will then be given an example of how that section should be completed.

As important as accurate completion of the forms is to the overall process, it is critical to remember that this process requires communication between Rater and Ratee and that communication is a two-way exchange. Everything about this program and the processes that surround it is geared toward increasing communication and reducing misunderstandings that often arise when one person evaluates the work of another.

STEP-BY-STEP COMPLETION INSTRUCTIONS

IDENTIFICATION SECTION

Model ID: _____

Performance Evaluation System
State of New Jersey
Department of _____

Rating Cycle:

Ratee Name:	SSN:	Title:	Unit/Location:
Rater Name:		Title:	Unit/Location:

In the space provided, enter the appropriate Model ID as indicated on the list of Model IDs. Next, enter the Rating Cycle and the following information for the employee being rated (the Ratee) and the supervisor assigning the rating (the Rater):

- a. Employee’s name, Social Security Number, Title, and Department/Agency/ Location
- b. Supervisor’s name, Title, and Department/Agency/Location

SAMPLE: COMPLETED IDENTIFICATION SECTION

Model ID: TPAX1001S-E04

Performance Evaluation System
State of New Jersey
Department of Transportation

Rating Cycle: 10/1/03-9/30/04

Ratee Name: Joan Smith	SSN: 455-37-1155	Title: Secretarial Assistant 3	Unit/Location: Transportation-Ewing
Rater Name: John Taylor		Title: Manager 1, Human Resources	Unit/Location: Transportation-Ewing

MAJOR GOALS OF THE UNIT/WORK GROUP

With the mission statement as a guide, the supervisory personnel of the organization should develop the goals of the unit/work group. These goals should be integrally linked to the overall mission of the main organization and reflect the primary goals of the unit or work group. Additionally, other documents can also be of assistance in this effort, among them, enabling legislation or regulation, the organizational budget, strategic plans and annual reports.

At the Initial Agreement session, the major goals of the unit or work group should be discussed with the Ratee.

MAJOR GOALS OF THE RATEE

This section should contain the major goals to be achieved by the Ratee. These goals should be integrated with the major goals of the unit or work group and the overall mission of the main organization. At the Initial Agreement session, the major goals of the Ratee should be identified, communicated and discussed. To help ensure success, it is recommended that these goals be jointly developed. This enables the Ratee to see how his/her efforts relate to the goals of the unit and to the overall organization.

SAMPLE: COMPLETED MAJOR GOALS SECTION

Major Goals of the Unit/Work Group

- To provide lists of qualified candidates in advance of need to appointing authorities

Major Goals of the Ratee

- To provide customer agencies and applicants with timely information regarding scheduled examinations

JOB EXPECTATIONS AND EVALUATION

Individual Job Responsibilities and Standards for Satisfactory Performance

After the goals of the work unit and employee have been identified, the next step involves identifying the Individual Job Responsibilities and their Standards for Satisfactory Performance. When developing Individual Job Responsibilities, it can be helpful to review former PESs for others who functioned in this position as well as current job specifications. However, the PES is not a restatement of the general tasks on the specification, but is a document that specifies the important responsibilities of this particular Ratee. Department of Personnel Job Specifications and/or KSAs (Knowledge, Skills, and Abilities) should not be reflected here.

Individual Job Responsibilities

The most critical, consistent, or time-consuming job responsibilities should be listed here. This is not meant to serve as a laundry list of all of the activities of the employee, but a list of those major duties that impact on the goals of the unit and the mission of the organization.

Standards for Satisfactory Performance

Standards for Satisfactory Performance are written statements describing **how well** a job should be performed. Performance standards are developed collaboratively with employees, whenever possible, and explained and discussed during the Initial PES meeting. The Standards for Satisfactory Performance should include specific terms describing measurable or verifiable features of the performance:

- Describe Standards for Satisfactory Performance in terms of **timeliness** (deadlines, dates), **cost** (budget constraints, limits), **quality** (objective measures of satisfaction), **quantity** (how many), **customer satisfaction**, **independent initiative demonstrated** and **any other relevant verifiable measure**.
- Specify, if appropriate, the acceptable margin for error.
- Refer to any specific conditions under which the performance is expected to be accomplished or performance assessed. Statements like the following refer to the conditions under which the task or function is done: 1) after completion of training on new system, 2) based on procedures manual to be published on July 1.

Universal Performance Factors and Examples of Satisfactory Performance

Universal Performance Factors

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

Examples of Satisfactory Performance

The Examples of Satisfactory Performance are similar to the Standards for Satisfactory Performance insofar as they are statements that describe how well a job should be performed. The standards are pre-defined for each of the seven performance factors that appear on the PES model and reflect the actions or behaviors necessary for their satisfactory attainment.

During the initial meeting, the Rater must discuss the Job Expectations (Individual Job Responsibilities and Standards for Satisfactory Performance, Universal Performance Factors, and Examples of Satisfactory Performance) and method of evaluation (pass/fail) with the Ratee to ensure that they are clearly understood.

SAMPLE: COMPLETED JOB EXPECTATIONS AND EVALUATION SECTION

Job Expectations and Evaluation

Individual Job Responsibilities	Standards for Satisfactory Performance Statement of conditions that exist when a job has been completed at the satisfactory level.	Interim		Final	
		Pass	Fail	Pass	Fail
1. Answers the telephone for the Public Safety Unit and other units as assigned.	Primary telephone is answered by the second ring. The standard response upon answering is used (as outlined in the Telephone Techniques Manual). Calls are transferred to the appropriate party; if it is necessary to take a message, the following information is accurately obtained and transmitted to the intended recipient – date, time of call, caller’s name, telephone number, agency affiliation, purpose of call.				
2.					
3.					
4.					
5.					

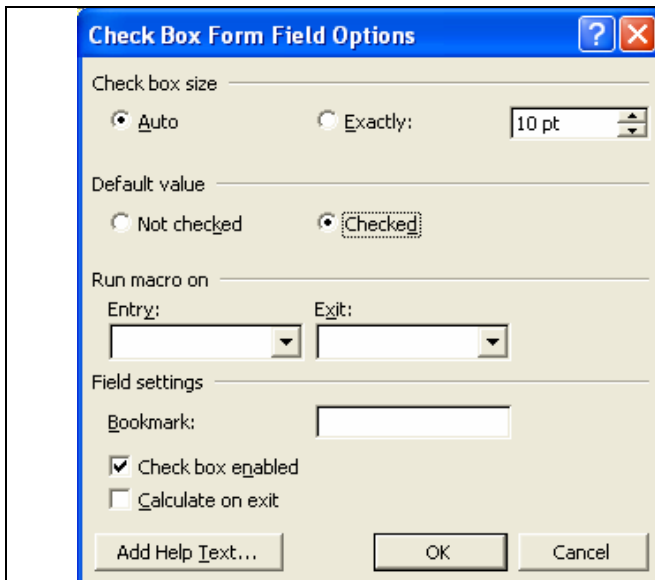
Universal Performance Factors	Examples of Satisfactory Performance	Interim		Final	
		Pass	Fail	Pass	Fail
<i>Customer Service</i> Identifies and meets customer (internal and external) needs.	Accurately assessed customer needs; provided necessary or requested service within acceptable timeframes requiring minimal corrections or revisions; sought customer feedback, and expression of satisfaction with work product. Occasionally sought alternative solutions.				

CERTIFICATION OF INITIAL AGREEMENT

Before concluding the meeting, both the Ratee and the Rater (the employee's supervisor) must sign and date the PES form in the section provided. The date of the meeting must also be entered at the top of the certification section. This section of the form is intended to document that a face-to-face meeting was held between the Rater and Ratee to discuss the Major Goals of the Unit/Workgroup and Ratee, the Individual Job Responsibilities and Standards for Satisfactory Performance, and the Universal Performance Factors of the job.

The Ratee and Rater should make every effort to agree on the Job Expectations listed on the PES document. The Ratee should indicate agreement or disagreement with the elements on the document by checking the appropriate box in the certification section. After the Ratee and Rater have signed the form, it should be forwarded to the Reviewer (the Rater's supervisor), who will conduct a quality review of the process. The Reviewer should then sign and date the form to verify that he/she has inspected it.

<p>RATEE</p> <p>I have reviewed and received a copy of this package and have had a face-to-face meeting with my supervisor on ___/___/___ (Date) to discuss the Major Goals of the Unit/Ratee, Individual Job Responsibilities, Standards for Satisfactory Performance, and Universal Performance Factors on which I will be rated. My signature indicates that I have been advised of these PES elements.</p> <p>Ratee Signature _____ Date ___/___/___</p> <p>I <input type="checkbox"/> Agree <input type="checkbox"/> Disagree with the elements of this PES.</p> <p>Ratee Signature _____ Date ___/___/___</p> <p>RATER</p> <p>My signature indicates that I have reviewed these PES elements with the Ratee and provided a copy of this document.</p> <p>Rater Signature _____ Print Rater Name _____ Date ___/___/___</p> <p>REVIEWER</p> <p>My signature indicates that I have conducted a quality review of this package.</p> <p>Reviewer Signature _____ Print Reviewer Name _____ Date ___/___/___</p>



NOTE: All the “Agree” and “Disagree” boxes may be checked directly on the form.

To do so, double-click on the appropriate box. The Check Box Form Field Options window will display (as shown at left).

In the Default Value section, select “Checked” and click OK. An “X” will appear in the appropriate “Agree” or “Disagree” box.

SAMPLE: COMPLETED CERTIFICATION OF INITIAL AGREEMENT SECTION

RATEE

I have reviewed and received a copy of this package and have had a face-to-face meeting with my supervisor on 10 / 1 / 03 (*Date*) to discuss the Major Goals of the Unit/Ratee, Individual Job Responsibilities, Standards for Satisfactory Performance, and Universal Performance Factors on which I will be rated. My signature indicates that I have been advised of these PES elements.

Ratee Signature Jane Smith Date 10 / 1 / 03

I Agree Disagree with the elements of this PES.

Ratee Signature Jane Smith Date 10 / 1 / 03

RATER

My signature indicates that I have reviewed these PES elements with the Ratee and provided a copy of this document.

Rater Signature Tom Grant Print Rater Name Tom Grant Date 10 / 1 / 03

REVIEWER

My signature indicates that I have conducted a quality review of this package.

Reviewer Signature Mary Dunn Print Reviewer Name Mary Dunn Date 10 / 10 / 03

ASSIGNING RATINGS

Each Individual Job Responsibility listed must be evaluated against its respective Standards for Satisfactory Performance. If the Ratee has met the standards defined for that specific Individual Job Responsibility, the Rater should check “Pass.” The “Fail” box should be checked if the standards have not been met. Next, each Universal Performance Factor must be appraised in accordance with its Examples of Satisfactory Performance. If the Ratee’s performance meets similar or equivalent standards, a checkmark should be placed in the “Pass” box. If similar or equivalent performance standards have not been attained, the “Fail” box should be checked.

SAMPLE: ASSIGNING RATINGS

Individual Job Responsibilities	Standards for Satisfactory Performance Statement of conditions that exist when a job has been completed at the satisfactory level.	Interim		Final	
		Pass	Fail	Pass	Fail
1. Answers the telephone for the Public Safety Unit and other units as assigned.	Primary telephone is answered by the second ring. The standard response upon answering is used (as outlined in the Telephone Techniques Manual). Calls are transferred to the appropriate party; if it is necessary to take a message, the following information is accurately obtained and transmitted to the intended recipient – date, time of call, caller’s name, telephone number, agency affiliation, purpose of call.		√	√	
2.					
3.					
4.					
5.					

Universal Performance Factors	Examples of Satisfactory Performance	Interim		Final	
		Pass	Fail	Pass	Fail
<i>Customer Service</i> Identifies and meets customer (internal and external) needs.	Accurately assessed customer needs; provided necessary or requested service within acceptable timeframes requiring minimal corrections or revisions; sought customer feedback, and expression of satisfaction with work product. Occasionally sought alternative solutions.	√		√	

SIGNIFICANT EVENTS SECTION

This section was developed to capture significant events as they occur, with both the Rater and Ratee initialing the description of the event and making appropriate comments. Significant Events should be used to capture both positive and negative events. The Rater has final decision whether an event is considered "significant." However, this does not preclude a Ratee from mentioning a particular event for consideration to the Rater. This is an excellent tool to improve communication and provide ongoing feedback. *Attach Additional Sheets as Necessary.*

JUSTIFICATION FOR EVALUATION SECTION

In this section, the Rater should recognize and document positive contributions as well as areas needing improvement. Provide justification, i.e. validation of the rating by citing specific reason(s) for the Overall Rating. Cite Specific examples - both positive and negative - which support and justify the rating given. The Ratee should indicate his/her agreement or disagreement with the justification plan by checking the appropriate box and initialing next to it.

SPECIFIC AREAS IDENTIFIED FOR DEVELOPMENT

An important aspect of this process is the identification of development needs and opportunities. This should be completed regardless of the rating assigned to the Ratee. What areas should the Ratee improve or strengthen and how can the Ratee get assistance in making these improvements? The Rater should be specific. The same process occurs when the final rating is due. The Rater should be prepared to discuss how the rating was arrived at and to listen to the comments and concerns of the Ratee. The Ratee should indicate his/her agreement or disagreement with the development plan by checking the appropriate box and initialing next to it. *Attach Additional Sheets as Necessary.*

RATEE COMMENTS SECTION

The Ratee Comments section exists to provide an outlet for the employee to express in detail his/her agreement or disagreement with the assigned rating, the justification provided by the Rater, or the recommended development plan. *Attach Additional Sheets as Necessary*

**SAMPLE: SIGNIFICANT EVENTS
JUSTIFICATION FOR EVALUATION
SPECIFIC AREAS IDENTIFIED FOR DEVELOPMENT
RATEE COMMENTS**

Significant Events:

1. Based on information from a candidate, Ratee contacted the site of an examination and discovered that an emergency situation had closed the site on February 17, 2004. Immediately began making calls to other area facilities to find an alternative location. Alerted Manager and enlisted the support of others in calling candidates.

Agree Disagree JS Initials 2/25/04 Date

2. On March 4, 2004, Ratee sent copies of a document to an outside vendor for printing before final proofing. Due to the number of errors, the costly printing job had to be redone.

Agree Disagree JS Initials 3/10/04 Date

Justification for Interim Evaluation:

Ms. Smith has excellent telephone skills. 95% of the time, she is able to resolve issues without forwarding them to the Public Safety Unit. When necessary, she takes accurate messages and prioritizes them based on the urgency expressed by the caller. Her error rate in typing correspondence is above the established rate and this reduces her ability to present usable documents in the timeframes established; this is an area for improvement. However, there has been improvement in her ability to catch her own mistakes and she has enrolled in classes after work hours to improve her proficiency in this area.

Agree Disagree JS Initials

Specific Areas Identified for Development:

Typing speed, accuracy, and proofreading skills need improvement. Microsoft Word and Technical Writing classes are the suggested course of action.

Agree Disagree JS Initials

Ratee Comments:

I wish to thank my supervisor for mentoring me throughout the past year. I will attempt to improve my typing and proofreading skills by taking the appropriate courses at HRDI.

INTERIM/FINAL RATING SECTION

This section allows the Rater the opportunity to select the overall interim or final rating for the Ratee.

Please note that the Ratee must PASS 70% of all Individual Job Responsibilities and Universal Performance Factors in order to achieve a Satisfactory rating.

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

Examples:

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

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

SAMPLE: COMPLETED INTERIM/FINAL RATING SECTION:



INTERIM/FINAL CERTIFICATION SECTION

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

RATEE

I have reviewed and received a copy of this package and have had a face-to-face meeting with my supervisor on ___/___/___ (*Date*) to discuss the Final Rating, Significant Events, Justification, and Development Plan. My signature indicates that I have been advised of my Final Rating.

I Agree Disagree with the Final Rating.

Ratee Signature _____ Date ___/___/___

RATER

My signature indicates that I have noted the Ratee's positions and have provided a copy of this document.

Rater Signature _____ Print Rater Name _____ Date ___/___/___

REVIEWER

My signature indicates that I have conducted a quality review of the Final Rating, Justification, and Development Plan.

Reviewer Signature _____ Print Reviewer Name _____ Date ___/___/___

SAMPLE: COMPLETED INTERIM/FINAL CERTIFICATION SECTION

RATEE

I have reviewed and received a copy of this package and have had a face-to-face meeting with my supervisor on 9/30/04 (*Date*) to discuss the Final Rating, Significant Events, Justification, and Development Plan. My signature indicates that I have been advised of my Final Rating.

I Agree Disagree with the Final Rating.

Ratee Signature Jane Smith Date 9/30/04

RATER

My signature indicates that I have noted the Ratee's positions and have provided a copy of this document.

Rater Signature Tom Grant Print Rater Name Tom Grant Date 9/30/04

REVIEWER

My signature indicates that I have conducted a quality review of the Final Rating, Justification, and Development Plan.

Reviewer Signature Mary Dunn Print Reviewer Name Mary Dunn Date 10/04/04