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PIP RESOURCES R-1

HOW PIP WAS CREATED

In an effort to rebuild the County into a more efficient, accountable and responsible organization, the Board of Supervisors and County Executive Office has developed a system with these core elements:

- Mission, Vision and Guiding Principles
- Strategic Financial Plan
- Agency/Department Business Plans
- Performance Incentive Program (PIP)

Our vision describes where we want to be as an organization.

Our mission and guiding principles describe who we are as an organization.

The strategic financial plan and Agency/Department Business Plans create a path for us to reach our vision.

PIP assists our organization in moving down this path to our vision.

The purpose of PIP is to:

- Improve business results by increasing the performance of individuals and teams.
- Provide employees with clear expectations regarding their performance in connection with departmental goals so that their contributions to achieving these goals are clearly understood.

Collaboration in Creating PIP

The partnership between labor and management is at the heart of the creation and implementation of PIP.

While individual employees and departments operate with widely varying conditions and constraints, PIP was developed to be **objective** and **consistent**.

From the beginning, labor and management have worked collaboratively to design the Performance Incentive Program, so it fairly appraises, motivates and rewards employees throughout the County.

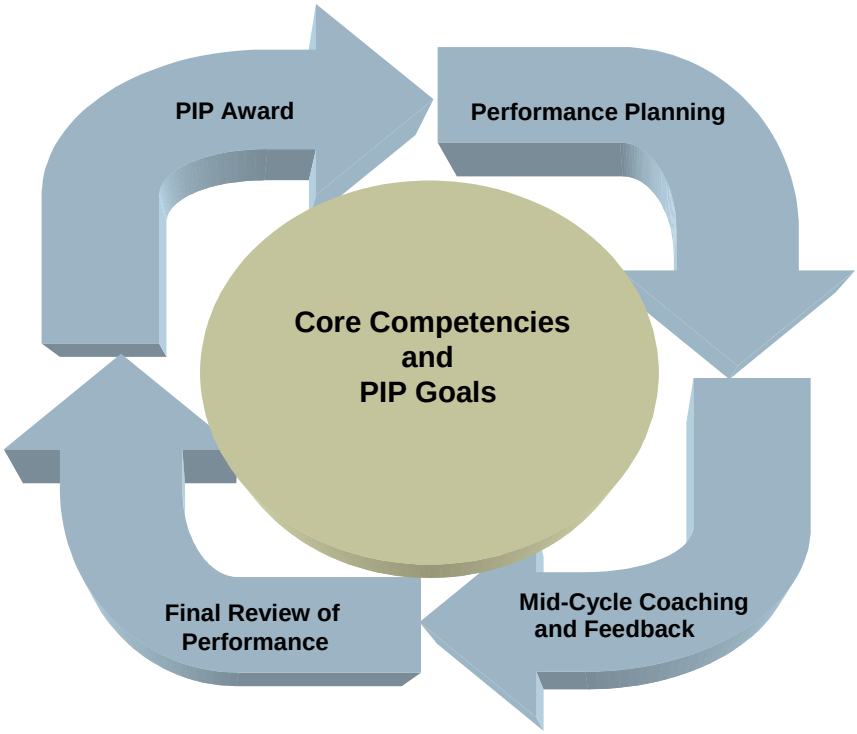
Labor and management collaboration existed through the development of Agency/Department Labor Management Committees (LMCs) working with the:

- Orange County Labor Management Task Force
  (AFL-CIO organizations and various levels of management), and
- Labor Management Steering Committee
  (OCEA Representatives and various levels of management).

PIP PROCESS OVERVIEW

THE PIP PROCESS OVERVIEW

Performance in the County is viewed as a continual cycle of planning, coaching/feedback and assessment of achievement. Supervisors and employees are responsible for establishing an accountable performance partnership.



Objectives

PIP is a tool to assist in increasing communication and collaboration throughout all levels in our organization, and to assist in setting goals and the achievement of those goals, so we can continuously build on our success.

PIP has been designed to:

- Provide a consistent, countywide approach to performance planning, monitoring, appraising and the rewarding of county employees.
- Help employees understand what the department values with respect to performance.
- Recognize an employee's strengths.
- Advise employees where improvement is needed, if applicable.

PIP is a performance management program including a supplemental reward program that is available apart from, and shall have no impact upon, negotiated general salary increases and other elements of employee compensation.

PIP provides opportunities for employees and their supervisors to:

- Discuss performance.
- Identify skill development needs and goals.
- Provide an equitable and objective basis for evaluating performance and for determining eligibility for merit increases and PIP Incentives.

Overall, the performance management process:

- Establishes clear expectations for performance.
- Actively involves participants in the evaluation process.
- Communicates and applies a consistent approach to planning and monitoring, as well as appraising and rewarding County employees.
- Provides ongoing feedback on performance related job duties, competencies, and goal attainment.
- Identifies strengths and areas for improvement.
- Develops action plans to strengthen and acquire skills.
- Encourages a manageable number of goals tied to personal and organizational objectives.
- Recognizes and rewards individuals for their contributions to achieving County and department goals.

PIP COMPONENTS

PIP COMPONENTS

Timeliness

Successful performance and achievement of County business goals is at the heart of PIP. These are achieved through collaboration and ongoing open communication about performance and Agency/Department business objectives. In order that all employees have full opportunity to achieve their job expectations and the performance goals they set, it is essential that each phase of the PIP process be completed in a timely manner. Therefore:

- It is the responsibility of the manager and supervisor to have knowledge of the scheduled employee performance review date for each employee, and to ensure that performance planning is conducted and completed in a timely manner as established herein.

- Managers and supervisors failing to participate in performance planning with employees, or who fail to complete the evaluation phase, may not be eligible for their performance award.

- Managers and supervisors failing to establish performance plans or evaluate their employees within the timeframes that have been established may be required to be placed in a Performance Improvement Plan.

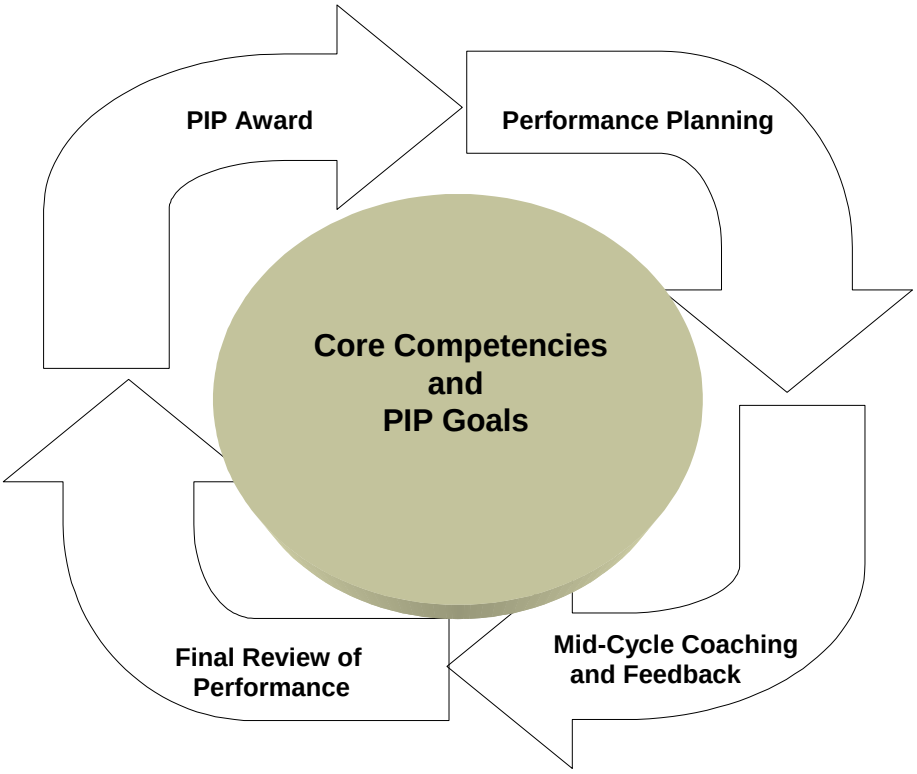
- It is the responsibility of the employee to know his or her scheduled review date and to ensure, by exercising the Plan Options described in this manual, that each component of PIP is completed in a collaborative manner with his or her supervisor, and within the specified timeframes.

PIP COMPONENTS

Core Competencies and PIP Goals

Central to the process are:

- Core Performance Competencies (including "customized" competencies)
- PIP Goals



Competencies are the knowledge, skills, abilities and attributes needed by all County employees to be successful in their jobs.

All employees are evaluated on five core performance competencies and up to two additional **assignment specific,** "Customized," competencies, for a maximum of seven performance competencies each year.

Core Performance Competencies	Five key areas of competency and customized competencies make up the Core Performance Competencies. These competencies reflect important areas of performance and attributes that are required for each County employee to be successful. Objectives to accomplish the Core Performance Competencies are jointly set between the supervisor and the employee. The core performance competencies, on the performance action

planning form, are not listed in any particular order. Their position in the list does not indicate relative importance.

"Customized" Competencies

Employees and supervisors may jointly select up to two additional, assignment-specific, "Customized" Competencies from the Competency Skill Directory. **Customized Competencies should be specific to an employee's assignment.** They may reflect an area where an employee is asked to concentrate on his/her performance.

Action steps to accomplish the customized competencies are jointly set between the supervisor and the employee.

PIP Goals

PIP goals are:

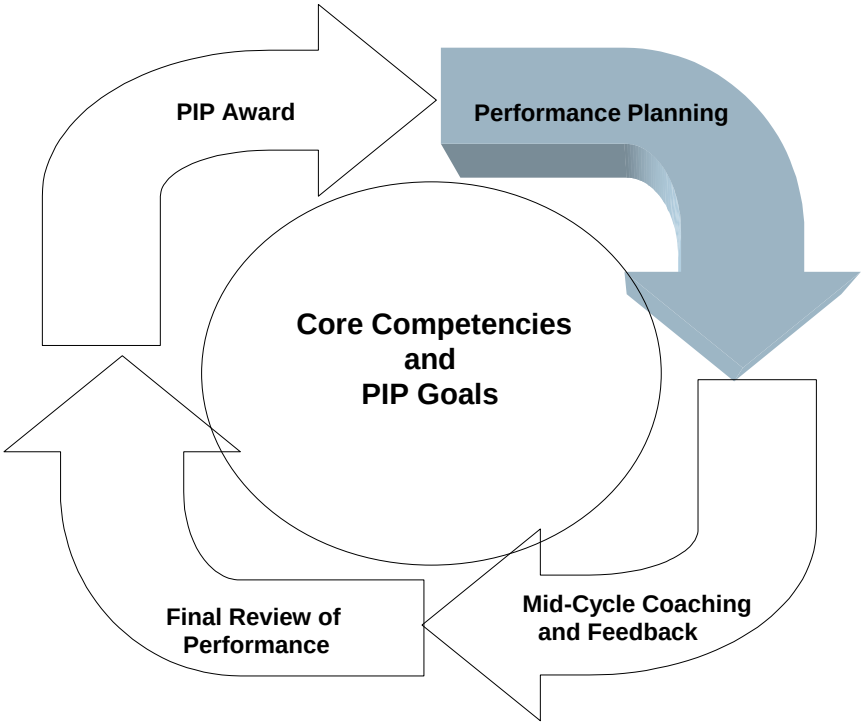
- Related to the department's business goals and objectives.
- Jointly established at the beginning of the performance cycle and are another important component of the program.
- Statements that describe specific and measurable actions, achievable through dedicated effort within a set timeframe.
- Developed in alignment with the department’s business goals and are structured to further the department's mission and objectives.

The employee and the supervisor jointly establish a minimum of one, to a maximum of three, performance goals.

At least one goal ***must*** be **performance based**, and added goals may encourage employee growth and development.

PIP COMPONENTS – MAIN STEPS

Performance Planning

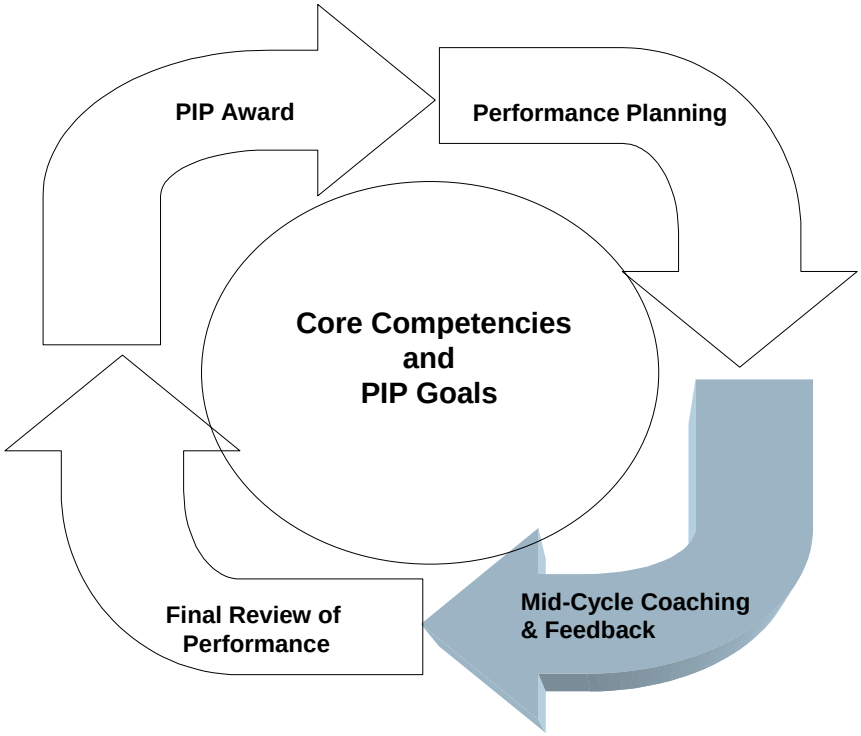


Performance planning is a meeting between an employee and his or her supervisor that occurs at the beginning of the annual review cycle. The main objectives are for supervisors and employees to collaboratively:

- Set performance expectations for the coming year
- Define specific actions around the core performance competencies
- Identify the 1-2 "customized competencies" to be focused on during the coming year
- Identify 1-3 goals to be achieved throughout the year

PIP COMPONENTS – MAIN STEPS

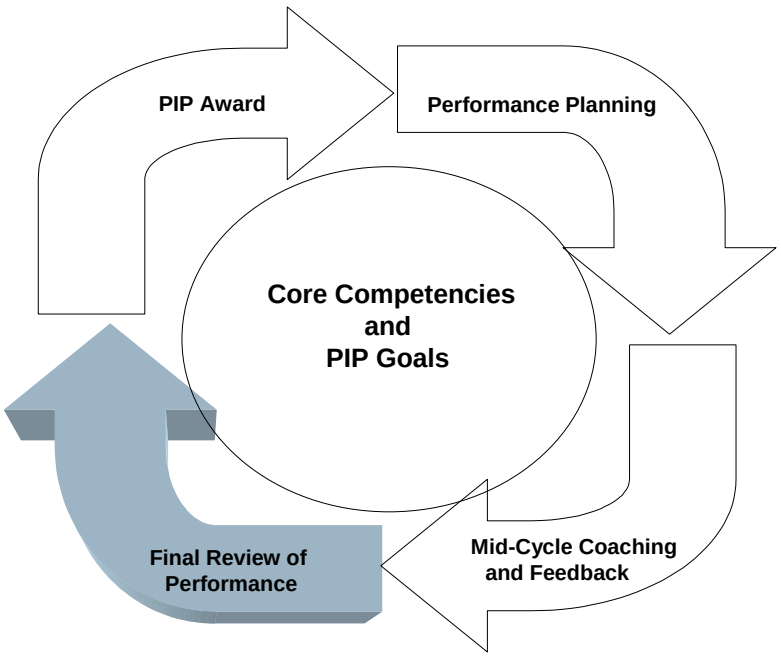
Mid-Cycle Coaching and Feedback



- Midway through the year, supervisors and employees will meet formally at least once to check in on progress toward achieving goals and action steps for the core and customized competencies.
- At this time, objectives in the performance plan may require modification, particularly if unforeseen events have triggered a need to set new priorities. Additionally, specific improvement plans may be developed to raise performance that is below the "meets performance objectives" level.
- Supervisors and employees should be prepared to discuss:
  - ⇒ Current progress on goal achievement.
  - ⇒ Successes achieved over the past six months and ways to continue that success.
  - ⇒ Any obstacles to goal achievement and potential solutions to overcome those obstacles.
  - ⇒ Any potential development and/or training needs.

PIP COMPONENTS – MAIN STEPS

Final Review of Performance



This meeting occurs near the end of the performance review year and is a time to formally discuss overall performance based on the core performance competencies, including customized competencies and PIP goals.

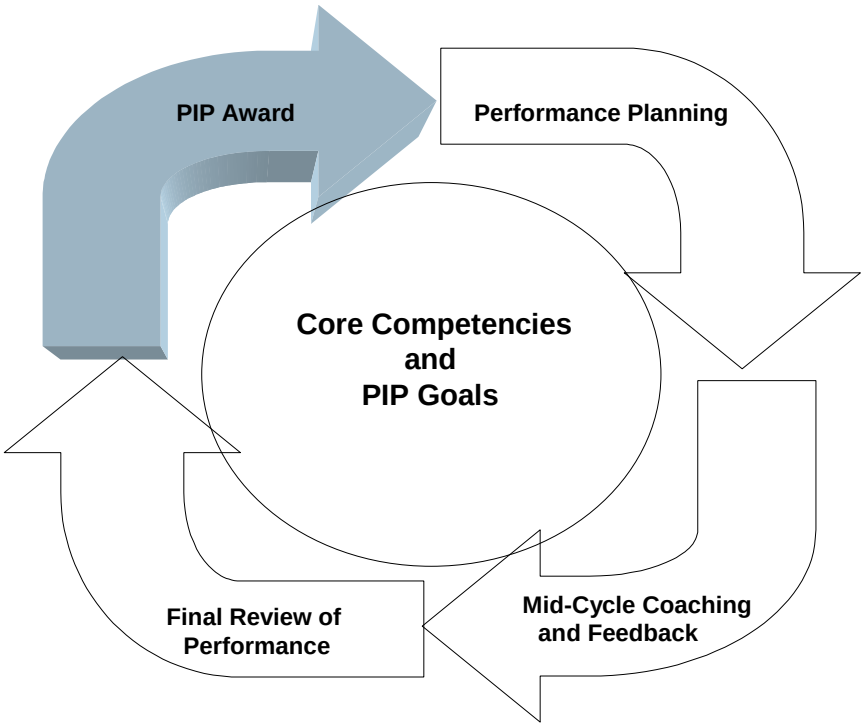
Prior to the meeting, the supervisor and employee should independently:

- Review key documents, such as:
  - ⇒ Performance planning form
  - ⇒ Mid-Cycle Coaching and Feedback form
  - ⇒ Improvement plans (as applicable)
- Identify:
  - ⇒ Progress from the mid-cycle review to the present on goal achievement
  - ⇒ Success achieved throughout the year and ways to continue it
  - ⇒ Goals achieved and how they were achieved
  - ⇒ Any obstacles to goal achievement or performance and potential solutions to overcome those obstacles
  - ⇒ Any potential development and/or training needs

A base-building merit increase will be awarded if an employee receives an overall performance rating of "meets" or "exceeds" performance objectives, and is not at the top of the pay scale.

PIP COMPONENTS – MAIN STEPS

PIP Award



To receive a PIP award the employee must:

- Receive an overall performance rating of "meets" or "exceeds" performance objectives
- Achieve all PIP goals

The PIP award is recognition of the achievement of core performance expectations ***and*** the achievement of PIP goals. Employees will receive non-cashable time-off:

CORE AND CUSTOMIZED COMPETENCIES

CORE PERFORMANCE COMPETENCIES

These are listed in no specific order.

Job Knowledge/ Skills	❑ Possesses sufficient skills and knowledge to perform key components of the job. ❑ Makes effort to stay up to date with changing technology, or other requirements of the job. ❑ Provides technical assistance to others if needed. ❑ Understands department mission, role and departmental operations.
Work Habits/ Quality	❑ Plans and organizes work to accomplish assigned duties. ❑ Makes good use of time and meets timeframes for assignments. ❑ Follows policies and procedures. ❑ Pays attention to important details. ❑ Structures activities to maximize speed and results. ❑ Cares for equipment, materials and the work area.
Interpersonal Skills	❑ Shows respect and consideration for others. ❑ Fosters and maintains positive working relationships. ❑ Maintains professional conduct and exhibits courtesy. ❑ Uses appropriate business like communication to accomplish job duties. ❑ Works cooperatively in groups and demonstrates leadership skills when appropriate.
Productivity/ Effectiveness	❑ Completes work accurately, thoroughly and neatly. ❑ Completes volume of work that meets established standards in a timely manner. ❑ Identifies work related problems and finds, recommends and implements effective solutions as appropriate. ❑ Accepts ownership and responsibility for the job.
Attendance/ Punctuality	❑ Is at work on time and is ready to work and adheres to work schedule, unless on an authorized leave of absence.

CUSTOMIZED COMPETENCIES DIRECTORY

Accountability	❑ Displays professionalism in approach to work. ❑ Recognizes and accepts responsibility for all parts of the job. ❑ Does not blame others for mistakes. ❑ Displays departmental perspective in meeting job responsibilities. ❑ Observes ethical and professional standards as set forth in established codes of conduct.
Adaptability/ Flexibility	❑ Willingness/ability to learn and adapt to a variety of situations. ❑ Demonstrates awareness of own strengths/weaknesses. ❑ Learns and applies skills. ❑ Is open to change. ❑ Learns by mistakes from self and others. ❑ Reacts to challenges in a “can do” manner. ❑ Is open to challenging assignments. Possesses an overall positive attitude toward work. ❑ Accepts constructive criticism and suggestions and uses them to advantage. ❑ Deals with anger, frustration and disappointment in a professional manner.
Analysis/ Decision Making	❑ Identifies and distinguishes key issues. ❑ Makes quality decisions with information available. ❑ Identifies areas for improvement and seeks creative solutions. ❑ Considers impact of decision(s) on others. ❑ Bases decisions on relevant facts. ❑ Takes appropriate risks. ❑ Asks effective questions. ❑ Identifies underlying causes of obstacles ❑ Effective troubleshooter. ❑ Refers to the established code of conduct for guidance.

This directory includes examples of competency attributes in each category. Additional attributes can be considered by the supervisor and employee.

CUSTOMIZED COMPETENCIES DIRECTORY (continued)

Communication	❑ Practices open and ongoing communication. ❑ Communicates courteously and respectfully. ❑ Listens effectively to understand and responds appropriately. ❑ Values keeping self and others informed. ❑ Produces clear, concise written documents.
Customer/ Client Services	❑ Is responsive to needs of customer/client. ❑ Effectively addresses concerns of customer/client. ❑ Makes conscientious effort to satisfy customer/client needs at all times. ❑ Interacts in a professional and courteous manner. ❑ Meets deadlines. ❑ Effectively listens to and addresses client problems.
Decisiveness/ Risk Taking	❑ Identifies and analyzes potential problems before taking action. ❑ Understands and accepts risks involved in decisions. ❑ Acts on the basis of limited but adequate data. ❑ Exercises good judgment about when to take risks. ❑ Is willing to take appropriate risks. ❑ Accepts responsibility for decisions.
Dependability	❑ Responds in a timely manner to others' request. ❑ Shows integrity. ❑ Is credible. ❑ Follows through on commitment. ❑ Maintains confidentiality.
Initiative	❑ Tackles difficult challenges. ❑ Assumes responsibility and consistently works to improve process. ❑ Sets challenging goals. ❑ Committed to achieve goals. ❑ Commits to continuous improvement. ❑ Exhibits ambition and self-motivation. ❑ Tries new ideas and seeks new experiences.

This directory includes examples of competency attributes in each category. Additional attributes can be considered by the supervisor and employee.

CUSTOMIZED COMPETENCIES DIRECTORY (continued)

Innovation/ Creativity	❑ Seeks out, recommends and implements new approaches. ❑ Displays creativity in seeking solutions to problems. ❑ Integrates new ideas with current approaches, champions new initiatives, embraces change.
Issue Resolution	❑ Identifies alternatives and works toward effective solutions. ❑ Recognizes agreements and generates consensus. ❑ Generates new approaches and implements constructive changes to solve problems.
Judgment	❑ Uses common sense in decision making; weighs alternatives. ❑ Demonstrates decisiveness and soundness in judgment. ❑ Understands limits of decision-making capabilities.
Leadership / Supervisory	❑ Recognizes and values diversity. ❑ Promotes unity. ❑ Is generous with praise. ❑ Delegates to stimulate growth. ❑ Gives importance to critical work and coaches to ensure learning. ❑ Gives responsibility, authority and autonomy in the right amount to match developmental readiness. ❑ Develops people well. ❑ Considers impact on decisions on others. ❑ Handles the unavoidable crisis effectively. ❑ Sets appropriate priorities for self and team. ❑ Sets challenging goals. ❑ Values keeping others well informed. ❑ Conducts effective meetings. ❑ Is able to pull people together. ❑ Supports the ethical and professional standards of established compliance programs.

This directory includes examples of competency attributes in each category. Additional attributes can be considered by the supervisor and employee.

CUSTOMIZED COMPETENCIES DIRECTORY (continued)

Planning and Organizing	❑ Effectively sets objectives and priorities. ❑ Manages resources. ❑ Meets deadlines.
Safety	❑ Takes a proactive approach to fostering a safe work environment. ❑ Identifies, reports and corrects unsafe working conditions/equipment in an efficient and timely manner.
Team Work	❑ Effectively plans and organizes team situations. ❑ Identifies areas for improvement. ❑ Regularly contributes new ideas and relevant concepts. ❑ Effectively executes roles assigned to them. ❑ Recognizes and considers long term strategic issues when making decisions. ❑ Meets commitments and deadlines to the team. ❑ Volunteers for tasks and/or projects. ❑ Works together with other members of the team. ❑ Works together professionally to accomplish team goals.

This directory includes examples of competency attributes in each category. Additional attributes can be considered by the supervisor and employee.

PIP GOALS

COLLABORATIVELY SETTING PERFORMANCE and DEVELOPMENTAL GOALS

Purpose

To connect individual employees' performance goals to Agency/Department business objectives and the County's operating goals and objectives to achieve performance excellence.

Parameters for Setting Goals

When setting goals, an employee and supervisor should use the following parameters:

Goals

- Shall be compatible with Agency/Department mission, values, goals and Business Plans.
- May include developmental/educational opportunities that contribute to job goals and an employee's professional growth.
- Shall be consistent with an employee's classification, duties, skills, and knowledge.
- Shall be mutually set by the employee and supervisor and considered by both to be fair and attainable.

What do we need to know to create PIP goals?

You need to:

- Know what you do on the job in terms of:
  - ⇒ Day to day work
  - ⇒ Special projects
- Identify the Agency/Department's goals and objectives
- Identify how your job performance assists the department or agency in reaching its goals and objectives
- Identify the different measures which are important for your department or agency, such as:
  - ⇒ Increased efficiency
  - ⇒ Increased quality
  - ⇒ Improved customer service
  - ⇒ Improved budget surplus
  - ⇒ Increased safety on-the-job
  - ⇒ Increased clarity of job duties

WHAT ARE PIP GOALS?

Definition	PIP goals are statements that describe specific and measurable actions, achievable through dedicated effort, within a set timeframe.
Examples	❑ To reduce overtime in the unit from 150 hours/month to 50 hours/month by December 1(year), at a cost not to exceed $10,000. ❑ Within the next six months, assist in improving the monthly paper order entry process, so that all entries are made by the 3rd working day of each month. ❑ By February 1, (year) complete a hazardous waste class on new refrigerant chemical disposal requirements, and by March 30, (year) provide in-service training to all air conditioning mechanics in the Sheriff's Department to ensure new procedures are implemented by mandated date of April 1,.
Criteria	Well-written goal statements contain these criteria: ❑ **S**pecific ❑ **M**easurable and verifiable ❑ **A**ction-oriented ❑ **R**ealistic ❑ **T**ime bound **SMART!**
SMART Example 1	To reduce overtime in the unit from 150 hours/month to 50 hours/month by December 1,(year) at a cost not to exceed $10,000. **Specifically - what will be done?:** Reduce overtime in unit from 150 hours/month to 50 hours/month. **Measurement:** Overtime hours are 50/month cost is less than $10,000. **Action:** Yes, reduce overtime. **Realistic:** It will be tough, but can be done. **Timing - When?:** By December 1.(year)

SMART Example 2	Within the next six months, assist in improving the monthly paper order entry process, so that all entries are made by the 3rd working day of each month. **Specifically - what will be done?:** Assist in improving the monthly paper order entry process. **Measurement:** All entries made by 3rd working day of each month. **Action:** Yes, assist in improving process **Realistic:** It will be tough, but can be done. **Timing - When?:** Within the next six months.
SMART Example 3	By February 1(year) complete a hazardous waste class on new refrigerant chemical disposal requirements, and by March 30 (year) provide in-service training to all air conditioning mechanics in the Sheriff's Department to ensure new procedures are implemented by mandated date of April 1 (year). **Specifically - what will be done?:** Complete a class on new refrigerant disposal requirements, and train all air conditioning mechanics. **Measurement:** Ensure new procedures are implemented by mandated date of April 1 (year). **Action:** Yes, take the class and train others. **Realistic:** It will be tough, but can be done. **Timing - When?:** By legally mandated date of April 1 (year).
Testing Your Goals	You can test your goal statements by following the SMART criteria and asking these 4 questions: ❑ To do what? ❑ What is the desired outcome? ❑ By when? ❑ How is it measured? To reduce overtime in the unit from 150 hours/month to 50 hours/month by December 1 (year) at a cost not to exceed $10,000. *To reduce overtime in the unit (to do what?)* from 150 hours/month to 50 hours/month (measurement) **by December 1 (year) (by when)** at a cost not to exceed $10,000 (measurement) Outcome = reduce overtime

Goals vs. Job Requirements	Distinguish between goals and job requirements; for example: **Goals** have an end in sight and are not typically an ongoing general task or responsibility. **Example:** In the next 12 months, to reduce the time for inputting ORG budgets into GFS from 10 hours to 8 hours, with no increase in data entry errors which would require adjustments from the previous fiscal year. **Job requirements** describe permanent features of a job. **Example:** Enter monthly paper orders into the computer system by the 5th working day of each month.
	Turning a job requirement into a goal: **Job requirement** Enter monthly paper orders into the computer system by the 5th working day of each month. **Goal** Within the next six months, improve the monthly paper order entry process, so that all entries are made by the 3rd working day of each month.

Determining Goals

An employee and supervisor shall:

1. Review the Agency's/Department's mission statement and Business Plan.
2. Identify which Agency/Department goals are impacted by the work performed in the employee's functional area.
3. Identify employee's individual performance goals based on measurable objectives and behavioral competencies.
   - These individual performance goals should be identified in the context of the divisional unit goals/objectives and the departmental goals/objectives.
4. Identify one to three SMART PIP goals to be accomplished in the next 12-month period. At least one PIP goal must be **performance-based**; others may be developmental.
5. Create action plans that identify how the individual can achieve the established goals.
6. Reach a mutual understanding on what is expected and how the goals will be achieved.

GOAL CATEGORIES

When defining specific goals, the following descriptions of different goal categories can help.

Project specific	Planning or carrying out project activities and participating in the achievement of project goals.
Training/development	Includes formal and informal training and education, alone or in group sessions, to gain, maintain or update the knowledge and skills necessary to do your job.
Policy setting	Lead or participate in the development / implementation of policies.
Special assignment	A one time task.
Finding economy	Cost savings.
Safety	Improving work practices, training self or others.
Mentoring	Being a role model, motivating, coaching, advising, correcting and enabling.
Customer service	Meeting customer requirements, increasing customer satisfaction and improving work practices to increase customer satisfaction.
Adaptability / flexibility	Being open to change, entertaining multiple ideas and solutions, and adjusting to changes in work situations.
Efficiency	Accomplishing work in less time, while increasing quality and increasing return on investment.

FRAMEWORK FOR SETTING S.M.A.R.T. GOALS

The Framework for Setting S.M.A.R.T. Goals is designed to assist employees and supervisors in collaboratively setting creative goals focused on matching individual employee strengths to Agency/Department Business needs. Answering the following questions, can lead to the successful identification of SMART PIP Goals!

What do you already do well? What are your strengths?

_____

_____

_____

How are you able to accomplish the things you do well?

_____

_____

_____

What would you like to accomplish over the next year?

_____

_____

_____

What would your organization like to accomplish over the next year?

_____

_____

_____

How will you and your organization benefit if you were able to accomplish your goals?

_____

_____

_____

How are you going to accomplish your goals?

_____

_____

_____

What specifically are you going to do?

_____

_____

_____

By when?

_____

_____

How will you measure the successful completion of your goals?

_____

_____

_____

PERFORMANCE RATINGS

RATING PERFORMANCE COMPETENCY LEVELS

Rate an employee's overall performance in the five Core Performance Competencies and any additional assignment specific "Customized Competencies" collectively, using the "Performance Competency Level" scale. The narrative section must address performance in each competency area.

Please read these definitions carefully before each Final Review of Performance to ensure consistent and objective appraisals of each individual employee.

Exceeds Performance Objectives	The contributions of an employee in this category clearly move the department toward the accomplishment of department and business goals by **consistently exceeding** the criteria for core performance objectives and customized competencies.
Meets Performance Objectives	This category represents a broad category of performance. An employee rated as "meets performance objectives" **normally meets and may sometimes exceed the objectives for performance. Performance may not always meet expectations in all areas and may require some improvement.** However, overall performance contributes towards the accomplishment of departmental business goals and objectives.
Does not Meet Performance Objectives	An employee in this category **frequently** fails to meet criteria for core performance objectives and customized competencies, despite committed efforts by supervision and/or management to assist in correcting performance. Overall performance has a measurable and defined negative impact on departmental operations. The employee has not satisfactorily responded to the improvement plan or corrective action. Documentation of specific performance deficiencies is required to support a "Does Not Meet Performance Objectives" rating.

Performance ratings are based on the ***overall performance*** on Core Performance Competencies, including the assignment specific "Customized Competencies".

Ratings of "Exceeds Performance Objectives" or "Does Not Meet Performance Objectives," should be reserved for exceptional situations and therefore, the evaluation must include specific examples of "Exceeds" or "Does Not Meet Performance" in the narrative section of the "Final Review of Performance" form.

PIP INSTRUCTIONS:

PERFORMANCE PLANNING

PIP INSTRUCTIONS

Please follow the instructions and guidelines described below to complete the performance planning form.

Performance Planning	Conducted at the beginning of the performance period

The role of the reviewer in performance planning is to ensure consistency and objectivity in goal setting, a collaborative process has been used, and that goals are tied to the Agency's/Department's goals and objectives.

1. The supervisor must establish a mutually convenient time to hold the annual performance planning discussion with each employee.
   - At least **one hour** should be scheduled to develop the plan for the upcoming year. This discussion should occur in a setting where there will be no interruptions.

2. Before the annual planning meeting, both the supervisor and the employee should independently:
   - Think about what is critical to performance in terms of:
     - ⇒ what work gets done.
     - ⇒ how work gets done.
     - ⇒ what skills and experiences that currently exist or should be developed to improve or enhance work performance.
   - Compare/contrast current performance to the performance criteria, levels and output, and skills and experiences that will be needed in the future.
   - Review the job description and competencies and any other performance-related documents.
   - Consider PIP goals and core performance objectives for the upcoming year.

3. During the meeting, the supervisor and the employee should discuss what is important in the coming year and develop a common understanding for:
   - The critical elements of performance (i.e. what attributes, skills, abilities, competencies and performance levels are important to do the job well).
   - Specific areas of performance where opportunities for improvement exist.
   - What is viewed as outstanding performance, examples of outstanding individual performance, and how the employee's performance can be applied in the coming year.

- Individual PIP goals, core performance objectives and action plan for the coming year.
- Ways in which the employee and the supervisor can discuss performance throughout the year.

4. The action plan for achieving PIP goals and core performance objectives for the coming year should be recorded on the "Performance Action Planning" section of the appraisal form.

5. The supervisor will need to complete the narrative section of the form at appropriate times during the evaluation cycle. The narrative must include the following information:
   - It must reflect factual information only.
   - An employee's performance may have areas that need/or provide an opportunity for improvement and still meet the objectives of their core performance competencies. These areas must be clearly identified.
   - At the end of the performance cycle, the "Final Review Narrative" section of the form must summarize conclusions about the employee's annual performance.
   - Consider accomplishments, special circumstances, benefit of performance to the organization and other similar important factors.
   - The narrative should reflect the employee's **overall performance** for the rating period.

PERFORMANCE PLANNING BASICS

PERFORMANCE PLANNING

- **The process must include a planning component, which will require one or more planning meetings between the supervisor and the employee.**
- **The reviewer and supervisor will meet prior to the employee's Performance Planning meeting to address Agency/Department specific objectives, as related to the Business Plan.**
- **The supervisor and employee will jointly begin developing a Performance Plan for the coming year within two (2) weeks of the employee's annual review date.**
- **The Performance Plan will address core and customized competencies and PIP goals related to the Agency/Department Business Plan.**

PERFORMANCE PLANNING RESPONSIBILITIES

Reviewer Responsibilities

***Prior** to Performance Planning Meeting:*

- **Ensure that supervisors have the training and knowledge they need to be successful.**
- **Be aware of the dates for performance planning.**
- **Meet with the supervisor before the performance planning meeting.**
- **Discuss the Business Plan with the supervisor to ensure that the goals of the Agency/Department are being met with PIP goals.**
- **Participate, collaborate, and communicate all aspects of the PIP program.**
- **Communicate changes that could affect PIP goals.**
- **Ensure the timeliness of the process.**

***After** Performance Planning Meeting:*

- **Ensure that the goals set meet the S.M.A.R.T. criteria.**
- **Ensure that the performance planning meeting was a collaborative process between the supervisor and the employee.**
- **Complete the process on time.**

Supervisor Responsibilities

***Prior** to Performance Planning Meeting:*

- **Prior to the performance planning meeting with the employee, meet with the reviewer to determine Agency/Department business needs.**
- **Know pertinent dates for staff members.**
- **Provide employees with notice of planning session.**

***During** the Performance Meeting*

- **Ensure the employee understands how his or her role and goals fit into the Business Plan.**
- **Work collaboratively with the employee during the Performance Planning process/cycle.**
- **Ensure the staff member clearly understands job expectations and the requirements to achieve their goals.**
- **Complete the process on time.**

Employee Responsibilities

***Prior* to the Performance Meeting**

- **Be aware of important dates related to performance planning.**
- **Think about what needs to be accomplished this year, and apply to PIP goals.**
- **Review Core Competencies.**
- **Consider Customized Competencies related to the assignment for potential developmental opportunities.**
- **Notify the supervisor if the Performance Planning meeting is not scheduled in a reasonable timeframe.**

PLAN OPTIONS:

- **If the supervisor fails to meet with the employee to develop a Performance Plan within 30 days of the annual review date, the employee may exercise one or more of the options listed below. This may be done verbally, in writing, or via email.**
    1. **Ask the Agency/Department Human Resources Team to follow up on the performance planning.**
    2. **Develop his or her own Performance Plan and submit it to the supervisor and/or reviewer for consideration.**
    3.
    4. **Request that the reviewer work jointly with him or her to develop a Performance Plan.**

Employee – During/ After the Performance Meeting

- **Review the Business Plan; ask about important Agency/Department/Division objectives for the coming year.**
- **Be open to suggestions and concepts from supervision.**
- **Contribute ideas and thoughts about personal objectives that are tied to performance.**
- **Leave the meeting with a clear understanding of the performance that is expected.**
- **Complete the process on time.**

PIP INSTRUCTIONS:

MID-CYCLE COACHING AND FEEDBACK

Please follow the instructions and guidelines described below to complete the Mid-Cycle Coaching and Feedback process.

Mid-Cycle Coaching and Feedback	Conducted mid-point through the performance cycle

Throughout the year, the reviewer should be available to participate as necessary to modify goals, modify the improvement plan, and continue to ensure the objectivity of the process.

- Supervisors must schedule a mid-cycle, one-on-one discussion with each employee.

  ⇒ More frequent discussion sessions are desirable, but optional

- During the meeting, the supervisor and employee should discuss the employee's performance in terms of all objectives. At this time, objectives in the performance plan may require modification, particularly if unforeseen events have triggered a need to set new priorities.
- Supervisors should summarize the discussion and progress toward performance objectives. If an employee is advised that their performance is not meeting expectations during the mid-cycle review, they must participate in an improvement plan.
- After the meeting, the supervisor and employee should sign the form in the space provided and indicate the date for a follow-up meeting, if necessary.

MID-CYCLE COACHING AND FEEDBACK BASICS

COACHING AND FEEDBACK

- **The supervisor must meet with the employee no later than six (6) months after the beginning of the annual review period to gauge performance progress.**
- **During this phase, the supervisor and employee will work cooperatively toward successful goal attainment as agreed to in the Performance Plan.**
- **If any ideas, issues, or changes need to be made to previously set PIP goals, the employee or supervisor may suggest making modifications during this meeting.**

MID-CYCLE COACHING AND FEEDBACK RESPONSIBILITIES

Reviewer Responsibilities

- **Ensure that Mid-Cycle Coaching and Feedback reviews are taking place during the timeframes specified.**
- **Inform supervisors of any Agency/Department changes that may have an impact on employee's previously set goals.**

Supervisor Responsibilities

- **Throughout the year, have discussions with the reviewer to ensure that the direction set during performance planning is still on target with Agency/Department goals.**
- **Be supportive and take all opportunities to discuss performance throughout the year.**
- **Schedule a mid-cycle, one-on-one discussion with each staff member.**
- **Engage the employee in discussing performance objectives, progress toward goals, and suggest any necessary modifications that may be needed.**
- **Complete this phase on time.**

Employee Responsibilities

- **Be aware of the timeframe in which mid-cycle discussion should occur.**
- **Be open to discussing any aspect of performance, progress toward achieving PIP goals, and/or any modifications that may be needed.**
- **Notify the supervisor if the Mid-Cycle Coaching and Feedback meeting is not scheduled in a reasonable timeframe.**

PLAN OPTIONS:

- **If the mid-cycle meeting does not occur within 30 days after the due date, the employee may exercise one or more of the options listed below. This may be done verbally, in writing, or via email.**
  1. **Ask the Agency/Department Human Resources Team to follow up on the mid-cycle review.**
  2. **Request that the reviewer work jointly with him or her to discuss the Mid-cycle review.**
  3.
- **Complete this phase on time.**

PIP INSTRUCTIONS:

FINAL REVIEW OF PERFORMANCE

Please follow the instructions and guidelines described below to complete the annual Final Review of Performance.

Final Review of Performance	Conducted within 30 days ***before*** the annual review date

The reviewer's role in the "Final Review of Performance" phase is to ensure that conclusions reflect the performance throughout the year. If the reviewer makes recommendations after the employee and supervisor have met, the employee and supervisor must meet again to review and consider the recommendations.

1. The supervisor will establish a mutually convenient time to hold the final assessment of performance meeting with each employee.
   - At least **one hour** should be scheduled for the meeting, and this discussion should occur in a setting where there will be no interruptions.
2. During the meeting, the supervisor and employee should discuss overall performance and identify specific examples of strengths and possible areas for improvement.
3. After the meeting, the supervisor and the employee, in conjunction with the reviewer, shall sign the form in the space provided, and indicate the date of a follow-up meeting, if necessary. A copy of the signed form shall be placed in the department's file and a copy shall be sent to Agency/Department Human Resources for placement in the employee's personnel file. The original copy of the form is for the employee.
4. The "Final Review of Performance" meeting may also be used to plan the next year's performance objectives and goals, or another meeting to plan the next year's performance can be set for another time. If this meeting is used as a planning session, the supervisor and the employee shall allow adequate time for the discussion.
   - It is preferred that performance planning for the new year is held in a separate meeting within 30 days of the final review of performance. This "break" allows for more time to consider specific goals and achievements for the coming year.

Notes:

- Employee should receive the original copy of the form.
- Supervisor should keep a copy.
- 1 copy is needed for the department’s file.
- 1 copy is sent to Agency/Department Human Resources for placement in the employee’s personnel file.

FINAL REVIEW OF PERFORMANCE BASICS

FINAL REVIEW OF PERFORMANCE

- **The final evaluation is due no later than the employee's annual review date.**
- **If the supervisor or the manager fails to complete the evaluation phase, he or she may be ineligible for performance rewards, based on failing core performance competencies.**
- **Performance Planning for the next cycle should be discussed within two (2) weeks after the completion of the evaluation phase.**

EVALUATION PHASE RESPONSIBILITIES

Reviewer Responsibilities

- **Must ensure that the evaluation phase occurs within the 30 days prior to the employee's annual review date.**
- **Should discuss upcoming Agency/Department goals with the supervisor in preparation for the next performance cycle.**
- **Ensure that the evaluation phase was a collaborative process between the supervisor and the employee.**

Supervisor Responsibilities

- **Meet with the reviewer to understand the Agency/Department goals for the coming year.**
- **Spend time reviewing the criteria set at the Performance Planning meeting and the Mid-Cycle Coaching and Feedback meeting to allow for discussion on areas of improvement and accomplishments achieved by the staff member.**
- **Hold the final review on or before the employee's annual review date.**
- **Maintain a two-way discussion with the staff member on his or her performance and goal attainment.**
- **Prepare discussion points for the next performance cycle.**
- **Create a collaborative environment for the employee.**
- **Complete this phase on time.**

Employee Responsibilities

- **Know his or her final evaluation date.**
- **Review and prepare for the final evaluation by reviewing goals attempted, accomplished, and other performance criteria.**
- **Discuss performance and goal attainment objectives with the supervisor.**
- **Bring any documents to support the performance.**
- **Prepare thoughts and ideas for the next performance cycle.**
- **Complete this phase on time.**
- **Decide on PIP award.**
- **Notify the supervisor if the Final Performance Evaluation meeting is not scheduled by the annual review date.**

PLAN OPTIONS:

- **If the supervisor fails to meet with the employee within the 30 days prior to the annual review date, the employee may exercise one or more of the options listed below. This may be done verbally, in writing, or via email.**
  1. **Ask the Agency/Department Human Resources Team to follow up on the final review.**
  2. **Develop his or her own final review and submit it to the supervisor and/or the reviewer for consideration.**
  3. **Request that the reviewer work jointly with him or her to discuss the final review.**

PIP INSTRUCTIONS:

PIP AWARD

PIP AWARD

Supervisors should inform employees of their receipt of the PIP award at or just following the Final Review of Performance meeting.

- Non-cashable time off (hours will be maintained in a separate bank and are subject to annual leave/vacation/comp time scheduling conditions).

PIP INSTRUCTIONS:

IMPROVEMENT PLANS

IMPROVEMENT PLANS

Improvement Plans are a tool for supervisors and employees to collaboratively create an action plan focused on achieving success when an employee's **overall** performance is not meeting performance expectations. Prior to the Final Review of Performance, supervisors will ensure that an employee who is at risk of receiving a rating of "Does Not Meet Performance Objectives" is provided with:

- Explicit performance expectations;
- Clear objectives; and
- Timeframes for meeting objectives.

Any employee who receives a documented "Does Not Meet Performance Objectives" rating at the mid-cycle or year-end review must participate in an "Improvement Plan," jointly and collaboratively developed with the supervisor.

After three months, an interim progress review shall be conducted if the employee has not improved to a level that "Meets Performance Objectives." The review will provide additional feedback and encouragement to improve performance.

SIX-MONTH CYCLE FOR NEW AND NEWLY PROMOTED EMPLOYEES

SIX-MONTH CYCLE FOR NEW AND NEWLY PROMOTED EMPLOYEES

Overview

New employees and newly promoted employees will initially enter into a six-month performance planning cycle. As in all other aspects of PIP, every phase of the six-month performance cycle will be collaborative and involve open, two-way communication.

Therefore, within 30 days of being hired or promoted, the employee and his/her supervisor will:

- Ensure new employees complete PIP training; assess whether promoted employees would benefit from taking PIP training as a refresher, and enroll the employee as needed.
- Meet to engage in performance planning covering the first six months. During performance planning, the employee and supervisor will:
    - Discuss Core Competencies as they relate to the new job and the performance expectations for the employee during the first six months.
    - Discuss Customized Competencies as they relate to the new job and the business objectives of the Agency/Department. Up to two may be selected for focusing performance in the first six months.
    - Discuss job expectations for the next six months, and resources available to the employee to help him/her be successful.
    - Jointly establish one, two, or three SMART PIP goals for the coming six months.
    - Collaboratively create an action plan to help the employee achieve performance expectations and PIP goals.
    - Discuss any ongoing performance coaching meetings. At minimum, set a Mid-Cycle Coaching and Feedback meeting at the three-month mark.

Framework for Setting Six-Month Goals

- During Performance Planning meetings, supervisors and employees should use the following framework to establish performance expectations for the first six months:
    - What are the skills and competencies required for the job?
    - Which of those skills and competencies does the employee already possess?
    - What performance and development expectations does the Agency/Department have for the position during the first six months?

- What skills and competencies does the employee need to develop over the next six months. How will the Agency/Department benefit if the employee develops those skills and competencies?
- What specific actions will the employee need to take to accomplish those goals? (Action Plans should be S.M.A.R.T.)

Guidelines for Setting Six-Month Goals

- During the performance planning meeting, employees and supervisors will collaboratively set 1, 2, or 3 SMART PIP goals. It is important that the goals be realistic for a six-month period. Therefore, they may focus on:
  - Learning an important part of the new job, and demonstrating proficiency in a defined and measurable way.
  - Successfully completing a training class critical to the employee's success in the new job, and applying what has been learned to the job.
  - Using a special skill the employee already possesses to the benefit of the organization.
  - Concentrating on learning about the Agency's/Department's core business, mission, vision, and priorities, and applying it to an aspect of the job.
  - Completing a small project that supports the employee's learning, and benefits the Department.
  - Developing expertise in a specific area, and demonstrating it on the job in a defined and measurable way.
- At minimum, in approximately three-months, the employee and supervisor will have a Mid-Cycle Coaching and Feedback meeting to discuss progress in meeting performance objectives and achieving PIP goals. (See the Mid-Cycle Coaching and Feedback section of the PIP Manual for details.)
- At the end of six months, the employee and supervisor will meet to discuss and create a performance evaluation. At this time, the employee:
  - Receives a performance evaluation covering the first six months.
  - May pass his or her probationary period (if he or she is on a six-month probation period).
  - Be eligible for a merit increase, where applicable.
  - Be eligible for a six-moth PIP award.
- At the end of six months, the employee and supervisor will meet again to conduct Performance Planning for the coming twelve-month period.

P I P

PIP AND EMPLOYEE STATUS CHANGES

PIP and EMPLOYEE STATUS CHANGES

PIP applies to all OCEA represented employees.

Employee Status Change	Action Steps
New employee probation	• Performance planning is a continuous cycle, and should take place for new employees within 30 days from the hire date. • New probation periods are a time for learning and development. Goals that can reasonably be achieved within the first six months of employment should be set during the performance planning process. Employees will be eligible for a PIP award on their six-month merit review date (approximately six months from the date of hire). The amount of the PIP award will be pro-rated for the six-month evaluation period. Employees will then be eligible for PIP at the next merit or annual review date.
Promotional probation	• A performance review in the current position should occur before moving to new position to determine if all PIP requirements have been met. If PIP requirements are met, the employee will receive a pro-rated PIP award based on the number of months in the current position since the last PIP award or merit increase effective date. • Performance planning is a continuous cycle, and should take place for probationary employees within 30 days from the effective date of the promotion. • Promotional probation periods are normally a time for learning and development in the new position. Goals that can reasonably be achieved within the first six months in the new position should be set during the performance planning process. Employees will be eligible for a PIP award on their six-month merit review date (approximately six months from the date of promotion). The amount of the PIP award will be pro-rated for the six-month evaluation period. Employees will then be eligible annually for PIP at the next merit or annual review date.

Employee Status Change	Action Steps
Transfer	• Employee maintains the same merit or annual review date upon transfer to a new position in a new agency or department. • Performance planning is a continuous cycle, and should take place within 30 days from the effective date of the transfer. • If it has been **less** than six months since the last PIP award or merit increase effective date, the Agency/Department that the employee is leaving from shall prepare a performance review to determine if the employee is progressing toward meeting PIP goals. The employee will be eligible to receive a pro-rated PIP award if the employee is progressing toward meeting PIP goals, based on the number of months since the last PIP award or merit increase effective date. (Employee maintains annual or merit review date in new position, and is eligible for pro-rated PIP in new position, based on the number of months in new position.) • If it has been **more** than six months since the last PIP award or merit increase effective date, the Agency/Department that the employee is leaving from shall prepare a performance review to determine if the employee is progressing toward meeting PIP goals. The employee will be eligible to receive a **full** PIP award, if the employee is progressing toward meeting PIP goals (maintains annual or merit review date in new position, and receives annual or merit review only, no PIP).
Leave of Absence without pay	• Merit and/or annual review date is adjusted upon the employee's return according to the amount of time the employee was on leave. • Performance review and potential PIP award will occur at the adjusted merit review date.
Part Time	• Part-time employees will be eligible for a PIP award annually, whether or not it is a merit review, provided PIP goals are met. • If PIP goals are met, the employee will receive a pro-rated PIP award, based on the employee's part-time schedule.

Employee Status Change	Action Steps
Retirement/	• Performance review should occur before the employee leaves. If it has been less than six months since the last PIP award or merit increase effective date, the Agency/Department shall prepare a performance review to determine if the employee is progressing toward meeting PIP goals. If employee is progressing toward meeting PIP goals, the employee will be eligible to receive a pro-rated PIP award, based on the number of months since the last PIP award or merit increase. • If it has been more than six months since the last PIP award or merit increase effective date, the Agency/Department shall prepare a performance review to determine if the employee is progressing toward meeting PIP goals. The employee will be eligible to receive a full PIP award if the employee is progressing toward meeting PIP goals.

Supervisory Changes

If a supervisor leaves his/her position, prior to employees' performance review, it is the responsibility of that supervisor, the reviewer, and the employee(s) to inform the new supervisor of the performance in that department.

Each Agency/Department should determine a process which works for them to ensure new supervisors are up to speed on employee performance within the department.

The supervisor should write a brief performance summary for each of his/her direct reports before leaving his/her position.

FREQUENTLY ASKED QUESTIONS (FAQs)

Question	Answer
How often should employees be evaluated for PIP?	Supervisors and employees are required to formally meet at six-month intervals. If there needs to be changes in goals or problems are developing, you should meet immediately. Informal discussions to monitor and/or advise employees of their progress should occur on a regular basis.
What constitutes a sub-standard evaluation?	A rating of “Does Not Meet Performance Objectives” constitutes a sub-standard evaluation.
How are PIP goals set?	Employees and supervisors should jointly develop goals at the performance planning meeting. Goals should be ambitious but attainable and help the Agency/Department to meet its goals.
How do we decide on Customized Competencies?	Review the list of Customized Competencies. Choose the 1 to 2 competencies which are most critical to the job assignment.
What if something unforeseen occurs which prevents me from accomplishing a PIP goal?	You need to meet with your supervisor to discuss a modification in your PIP goal.
If I am promoted, or transfer during my rating period, how does that affect my PIP award?	If you are progressing toward meeting your PIP goals you may be eligible for a PIP award. Please see the section titled PIP and Employee Status Changes in the manual for specific details.
What if I separate from the County, am I eligible for a PIP award?	You are eligible for a pro-rated PIP award if you were making sufficient progress toward the accomplishment of your PIP goals.
If I work part-time, am I eligible for a PIP award?	Yes. You are eligible for a pro-rated PIP award based on the number of paid hours in the rating period as long as you meet your PIP goals.
Can I earn a PIP award if I am on unpaid leave of absence?	Your PIP and merit review dates will be adjusted by the amount of time you were on unpaid leave. If you achieve your PIP goals during that adjusted timeframe, you will be eligible for a PIP award. See the section titled, PIP and Employee Status Changes for specific details.
Do I have to participate in PIP?	Yes. All employees are expected to jointly arrive at PIP goals with their supervisors and strive to accomplish those goals.

PIP FORMS

PERFORMANCE REVIEW
Cover Sheet

NAME: Last: _____ First: _____ MI: __ Classification: _ _____ Identification Number #_____ Evaluation Period: _____ _____ Current Step: _____ Eff. Date: _____ From To (All dates should be in MM/DD/YYYY format) Agency/Department: _____	**Evaluation Type**: ☐ Annual Review ☐ Interim ☐ Merit ☐ Probation ☐ Promotion ☐ Separation ☐ Transfer Out of Agency ☐ Other (Specify) _____

Revised 6.6.12

Name: ____

PERFORMANCE ACTION PLANNING FORM

Describe the major job responsibilities and objectives related to "Core Performance" and assignment specific "Customized" Competencies for the performance period. As part of the supervisor/employee discussion, consider the ways to develop knowledge, skills and abilities within the specific competencies during the performance review period.

Job Knowledge/Skills: • Possesses sufficient skill and knowledge to perform key components of the job. • Makes effort to stay up to date with changing technology, or other requirements of the job. • Provides technical assistance to others if needed. • Understands department mission, role and departmental operations.	**Action Plan Specifics:**
Work Habits/Quality: • Plans and organizes work to accomplish assigned duties. • Makes good use of time and meets time frames for assignments. • Follows policies and procedures. • Pays attention to important details. • Structures activities to maximize speed and results. • Cares for equipment, materials and the work area.	**Action Plan Specifics:**
Interpersonal Skills: • Shows respect and consideration for others. • Fosters and maintains positive working relationships. • Maintains professional conduct and exhibits courtesy. • Uses appropriate business like communication to accomplish job duties. • Works cooperatively in groups and demonstrates leadership skills when appropriate.	**Action Plan Specifics:**

Name: ____

PERFORMANCE ACTION PLANNING FORM

Productivity/Effectiveness: • Completes work accurately, thoroughly, and neatly. • Completes volume of work that meets established standards in a timely manner. • Identifies work related problems and finds, recommends and implements effective solutions as appropriate. • Accepts ownership and responsibility for the job.	**Action Plan Specifics:**
Attendance/Punctuality: • Is at work on time and is ready to work and adheres to work schedule, unless on an authorized leave of absence.	**Action Plan Specifics:**
Customized Competencies: • (Select up to two competencies from the "Competency and Skill Set Directory")	**Action Plan Specifics:**

Employee Signature: _____ Date: _____

Supervisor Signature: _____ Date: _____

Reviewer Signature: _____ Date: _____

Name: ____

PIP GOALS

• At the beginning of the performance evaluation cycle, the employee and supervisor will jointly establish a minimum of one to a maximum of three performance goals. One goal must be performance based and added goals may encourage employee growth and development. When setting goals, discuss with the employee anticipated projected results and timeframes for completion. • Goals must be developed using a framework consisting of specific, measurable, action-oriented, realistic and time limited objectives, "SMART" which should be tied to the overall department/division mission and business objectives.	• At the end of the performance period, indicate whether or not the goal was achieved in the final review narrative section of the form. If goals were not achieved, explain the reasons for non-achievement. • Goals may be tied to core performance competencies that further the department mission and objectives.
1. 2. 3.	1. 2. 3.

Planned Activities to Achieve Goals: (☐additional sheets attached)	**Deadlines** (If applicable)
Goal #1:	1.
Goal #2:	2.
Goal #3:	3.

Employee Signature: _____ Date: _____

Supervisor Signature: _____ Date: _____

Reviewer Signature: _____ Date: _____

Revised 6.6.12

Name: ____

COACHING AND FEEDBACK REVIEW

Follow-up Period: ☐ **6 Months** ☐ **Other**

1. **A.** ☐ **Progressing well** (no significant obstacles)
   B. ☐ **Not Progressing** (significant obstacles encountered; provide information on reasons for not progressing; establish an "Improvement Plan" if necessary)

2. ☐ **Steps to take to achieve objectives** (provide information in the narrative section)
3. ☐ **Modifications**

Date: / /
Month Day Year

Narrative: (☐additional sheets attached)

Employee Comments: (☐additional sheets attached)

I agree with the progress review: ☐ Yes ☐ No

Employee Signature: _____ Date: _____

Supervisor Signature: _____ Date: _____

Reviewer Signature: _____ Date: _____

REVIEW OF PERFORMANCE NARRATIVE

☐ **Interim** ☐ **Merit** ☐ **Probation** **Name:** _____

☐ **Annual** ☐ **Separation** ☐ **Transfer Out of Agency** **ID #:** _____

☐ **Promotion** ☐ **Other** _____

Summarize conclusions about overall performance. See instructions: (☐additional sheets attached)

Summarize Conclusions About PIP Goal Performance: (☐additional sheets attached)

Employee Comments: (☐additional sheets attached)

The process of defining performance objectives and developing goals was collaborative. ☐ Yes ☐ No

My supervisor worked with me throughout the process by providing me with feedback regarding my work, and providing me with any assistance I needed to be successful. ☐ Yes ☐ No

I agree with the above rating: ☐ Yes ☐ No

OVERALL PERFORMANCE RATING & PIP AWARD:

- Employee Overall Performance Rating ☐ ***EXCEEDS PERFORMANCE OBJECTIVES*** ☐ ***MEETS PERFORMANCE OBJECTIVES*** ☐ ***DOES NOT MEET PERFORMANCE***

• Merit Step Increase		Steps granted (1-4) pursuant to the applicable MOU (recommendation when added to current step shall not exceed the top step of the range)
• No Salary Adjustment Required	☐	At top step of range (may also be used for employees who are at the discretionary step pursuant to the applicable MOU)
• Merit Increase Deferred	☐	Pay Periods (1-13)
• Merit Increase Denied	☐	

PIP GRANTED ☐ ☐ Time-Off ☐ Pro-Rated PIP

Probation Approved ☐ Probation Denied ☐

Employee Signature	Employee Name (please print)	Date
Supervisor Signature	Supervisor Name (please print)	Date
Reviewer Signature	Reviewer Name (please print)	Date

Revised 6.6.12

Name: ____

IMPROVEMENT PLAN

Performance Area of Needed Improvement: (please include detailed factual information regarding the performance challenge)

Improvement Expectations:

Improvement Plan: (Include the steps that will be taken to improve performance. Information should cover any meeting schedules, training, counseling schedules, progress, check points and specific time frames to complete all requirements)
☐ additional sheets attached

Employee's Comments: (☐additional sheets attached)
I agree with the Improvement Plan: ☐ Yes ☐ No

Supervisor's Comments: (☐additional sheets attached)

Employee Signature: _____ Date: _____

Supervisor Signature: _____ Date: _____

Reviewer Signature: _____ Date: _____

Revised 6.6.12

Name: _____

Attachment

For your convenience the text box below is provided to include as an attachment. Please reference which section of the PIP form the attachment references.

PIP RESOURCES

PIP CONCILIATION PROCESS (Support and Resolution)

The Performance Management Support and Conciliation Process is a confidential process designed to provide employees and supervisors with a method to resolve issues related to the Performance Management Process and the Performance Incentive Program (PIP). The process has been developed to be readily accessible, to promote the highest degree of collaboration between employees and their supervisors, and to assist them to optimize their understanding of, and participation in, the Performance Management Process and PIP. Please contact your Agency/Department Human Resources Team for further information.

Website ..... pipworks.com

Agency/Department Human Resources Teams

Each agency Human Resources team provides support and assistance to both supervisors and employees in administering the PIP Program. Please contact your Human Resources team if you should need assistance at any step in the process.