

8.0 PERFORMANCE APPRAISAL REVIEW

8.10 AUTHORITY AND SCOPE

Section 25-9-119(2)(c)(ii)(B) Mississippi Code of 1972, Annotated, as amended, requires the State Personnel Board and Director to provide a system of rules and regulations for "salary increases for outstanding performance based upon documented employee productivity and exceptional performance in assigned duties". The Performance Appraisal Review (PAR) is hereby established. All agencies under the purview of the State Personnel Board were mandated by the legislature in 1985 to participate in the State Personnel Board's Performance Appraisal Review (PAR) system.

8.20 PURPOSE

In addition to providing a basis for awarding productivity funds, a performance appraisal system serves a number of distinct purposes/functions: improves quality/quantity of services; develops employee skills; motivates better performance; and increases communication between the supervisor and the employee concerning performance, overall objectives of the work unit and specific work products.

Evaluating employees is a continuous process. The annual appraisals provide agency management a factual basis to identify employees for productivity increases, promotion, retention on the basis of performance, correction of inadequate performance, separation when inadequate performance cannot be corrected, used in the retention point formula for Reduction in Force (see Section 7.60, Reduction in Force, Mississippi State Personnel Board Policy and Procedures Manual), job development and training or other job related personnel management actions.

8.30 APPRAISAL COVERAGE

Every employee whose position is under the salary setting authority of the State Personnel Board shall be appraised for job performance at least once annually. Evaluations shall be based only on the performance of the duties of the employee's position compared against the performance standards for those duties. Only work outcome shall be evaluated. No factors handled by established disciplinary procedures (tardiness, physical violence, etc.) should be allowed as part of the evaluation process. Performance appraisals shall be administered in a fair manner without unlawful discrimination as to age, race, sex, religion, political affiliation, national origin, or disability.

8.40 GENERAL RULES FOR THE PERFORMANCE APPRAISAL REVIEW SYSTEM

- A. For *probationary employees/new hires*, the first narrative performance appraisal and rating shall be made within the fourteen (14) days prior to the end of the

sixth month from date of hire. In cases where completion of required job training results in reclassification, the first performance appraisal may be conducted earlier than six (6) months from date of hire.

For probationary employees/new hires, the second narrative performance appraisal and rating shall be completed within the fourteen (14) days prior to the end of the twelfth month from date of hire.

- B. After an employee has been employed for twelve (12) continuous months and has attained *state service status*, a narrative appraisal and rating shall be required annually for each employee by the immediate supervisor.

A valid appraisal rating is a rating completed as a result of an employee's job performance within the last 365 days.

For positions under the salary setting authority of the State Personnel Board, all personnel transactions entered online in SPAHRS will result in the performance appraisal period resetting to begin with the date the employee enters the position, or the effective date of a reclassification/reallocation and end one year from that date (except for employees in the probationary period of twelve (12) months).

For SPAHRS to process a personnel transaction (promotion, transfer, reclassification, reallocation, and demotion), the last appraisal rating is reviewed. If the last appraisal rating is less than ninety (90) days prior to the effective date of the personnel transaction, the process to transmit the record for approval will not be interrupted.

However, if the last appraisal rating is more than 90 days prior to the effective date of the personnel transaction, the Record Performance Appraisal screen will be invoked, preventing the personnel transaction from processing until an appraisal rating is completed for the employee (current position), recorded, and approved in SPAHRS. Then, the pending personnel transaction request will be completed. When the request is approved, the next appraisal period, beginning with the effective date of the personnel transaction and ending at 365 days, will automatically populate in SPAHRS. (For more information, reference the SPAHRS User Training Notebook, Performance Appraisal segment.)

Employee performance appraisal periods should not be confused with "anniversary dates." Thus, "anniversary dates" are not a viable method of administering the performance appraisal review system.

- C. For *non-state service* employees under the salary setting authority of the State Personnel Board, appraisals shall be administered within the same time frames as outlined for employees in state service positions in A and B above.
- D. An employee who is detailed or temporarily assigned to a different position for a period expected to be at least 180 calendar days shall be provided with the duties/performance standards of the detailed or temporarily assigned position. Development and communication of these duties/performance standards shall follow the guidelines established by these regulations. Upon completion of the detail or temporary assignment, the employee shall receive a written narrative appraisal and rating by the rating supervisor in charge of the employee while on detail or temporary assignment.
- E. An employee shall have been in a position for a period of ninety (90) days before being eligible to receive an appraisal rating. If the employee is in the position less than ninety (90) days, it is assumed that the employee has performed at the Meets Expectations level, 2.0.
- F. The rating supervisor shall be the last person to have supervised the employee for a period greater than ninety (90) days at the time the appraisal is due.
- G. A rating supervisor who leaves the supervisory position is responsible for submitting to the first-level reviewer a narrative appraisal and rating for each supervised employee. At the discretion of the first-level reviewer, the appraisal rating can be transferred to the employee's new rating supervisor for combining with additional rating(s) for the annual performance appraisal rating or can be submitted to the agency personnel office and a new annual appraisal period started.
- H. If an employee is on detail or temporary assignment for a period less than ninety (90) days at the time of the appraisal due date, the rating supervisor, at the employee's regularly assigned position, is the last person to have supervised the employee prior to the detail or temporary assignment, providing such official meets the requirements in E and F above.
- I. Where an employee remains in the same position during an appraisal period (365 days), but has not been supervised by any one rating supervisor for at least ninety (90) days during the appraisal period, the employee will receive an appraisal rating from the person who is identified as the first-level reviewer. This person shall first consult with those who served as temporary supervisors during said period. In such cases, the narrative appraisal and rating shall be reviewed and approved by the second level reviewer.

- J. In the event an employee received more than one written performance appraisal rating during the appraisal period, the results of all such appraisals shall be combined. The last rating supervisor, at the end of the 365-day appraisal period, shall be responsible for combining all such appraisal ratings to compute the annual narrative appraisal and rating for subject period.
- K. Within the fourteen (14) days prior to the end of the appraisal period, the documented narrative appraisal and rating will be completed by the rating supervisor or the supervisor who has direct line authority over the employee. Then the rating supervisor shall schedule and conduct an appraisal interview with the employee to discuss the employee's level of performance as documented in writing and evaluated by the rating supervisor.
- L. The planning session for the next appraisal period shall be completed no later than fourteen (14) days after the new appraisal period begins; however, failure to comply with these time limits does not invalidate an appraisal rating that complies in other respects to these rules and regulations.
- M. Because performance appraisal is maintained on a continuous basis, performance appraisal ratings shall cover all the time an individual is employed in state government in covered positions.

8.50 RESPONSIBILITIES OF AGENCY STAFF

8.50.1 Responsibilities of Agency Head

The Agency Head shall:

- A. Ensure that the performance appraisal review is implemented and administered in his/her agency consistent with the State Personnel Board's policy requirements;
- B. Appoint members of the Agency Review Committee, if this option is elected;
- C. Ensure that employees are in a position and notified of duties/performance standards at least ninety (90) days before an evaluation and rating are completed; and
- D. Review documents that identify employee differences with rating supervisor on the duties/performance standards. (Although the Agency Head may choose not to intervene, the Agency Head is required to have knowledge of the differences.) (See Section 8.60.6, Resolving Differences on Duties/Performance Standards, Mississippi State Personnel Board Policy and Procedures Manual.)

8.50.2 Responsibilities of the Agency Human Resources Director/Officer

The Agency Personnel Director/Officer of each state agency is responsible for the overall staff direction of the performance appraisal review, and shall:

- A. Provide orientation for employees regarding the objectives and provisions for the performance appraisal review;
- B. Develop, or have developed, common/generic duties/performance standards for similar or identical agency positions. The common/generic duties/performance standards will be updated and maintained in the agency personnel office and made available to supervisors upon request;
- C. Provide rating supervisors, on a periodic basis, a "List of Performance Appraisals Due" from SPAHRS. This is very important since any time a personnel transaction is entered online in SPAHRS, the system will check the date of the last appraisal rating. If the last appraisal rating is more than ninety (90) days, the system will prevent the personnel transaction from processing until an appraisal rating is completed (current position), recorded, and approved; and
- D. Provide necessary training to managers and rating supervisors so that these individuals can effectively carry out the responsibilities for communicating with employees, appraising employees, and relating performance appraisal to other personnel actions.

The training is to include a thorough explanation that a part of the rating supervisor's job performance will be evaluated based on the documented performance data in each employee's Supplemental Employee Performance Folder (SEPF). For example, the rating supervisor has evaluated and rated the employee at the **Meets Expectations** level (2.0). Since a "**Meets Expectations**" rating means the employee has performed all necessary pro-rata duties/performance standards necessary to achieve the agency's mission and work plans, if the agency does not achieve its mission/work plans, then the rating supervisor's evaluation of the employee is (1) too high; or (2) the employee may be a "**Meets Expectations**" employee, but the department suffers from deficient supervision and leadership. In either case, the rating supervisor's narrative appraisal and rating are to reflect this when the rating supervisor's performance is evaluated.

8.50.3 Responsibilities of the Rating Supervisor

The Rating Supervisor is responsible for the following procedures pertaining to the completion of Performance Appraisal Review Forms and shall:

- A. Require Job Content Questionnaires be updated annually to accurately reflect the duties and responsibilities assigned to all employees supervised;
- B. Within fourteen (14) days from the beginning of the appraisal period, develop and document in writing, with assistance from rated employee, the duties/performance standards for each employee supervised. Complete Sections 1, 2 and 3, sign and date SPB Form 800-1 and -3, Performance Appraisal Review Report. After the discussion and all signatures are obtained, provide the employee with a copy of SPB Form 800-1 and -3. (See Section 8.60.6, Resolving Differences on Duties/Performance Standards, Mississippi State Personnel Board and Procedures Manual.);
- C. Establish and maintain a Supplemental Employee Performance Folder (SEPF) for each employee supervised. (See Section 8.60.8, Supplemental Employee Performance Folder (SEPF), Mississippi State Personnel Board Policy and Procedures Manual.);
- D. Update duties/performance standards and Job Content Questionnaire, as needed during the appraisal period, to reflect changes in position duties and responsibilities;
- E. Advise and update the employee relating to his/her performance throughout the appraisal period. At a minimum, one formal review and feedback session, during the sixth month of the appraisal period must be conducted. With assistance from the employee, complete, sign and date SPB Form 801, Record of Review and Feedback Session and Section 4, SPB Form 800-1, Performance Appraisal Review Report. Provide the employee with a copy of the completed SPB Form 801;
- F. Within fourteen (14) days prior to the end of the appraisal period, review, evaluate and complete Section 5, SPB Form 800-3 and Section 6, SPB Form 800-1, Performance Appraisal Review Report. Meet and discuss the narrative appraisal, rating, and documentation with the first-level reviewer for his/her approval, signature, and date. Next, meet and discuss the documentation, narrative appraisal and rating with employee for his/her information and comments. Ask the employee to sign and date. (Refer, Chapter 8, Section 8.60.11C, Appraisal Interview, Mississippi State Personnel Board Policy and Procedures Manual.) For on-line SPAHRS purposes, initial the reason for completing the narrative appraisal and rating. Provide a copy of the completed SPB Form 800-1 and -3 to the employee, retain a copy and send the original to the agency personnel office. (Reference the SPAHRS User Training Notebook, Performance Appraisal segment for more detailed information regarding procedure for submission of Performance Appraisal ratings in SPAHRS.) If the employee receives two or more appraisal ratings during the appraisal period, the rating supervisor combines all such appraisals to form a narrative appraisal and rating for the appraisal period;

- G. During an appraisal period, complete the evaluation process (narrative appraisal and rating) whenever circumstances warrant, i.e., prior to a promotion, transfer, reclassification, reallocation or demotion. (For additional information, Refer, Chapter 8, Section 8.60.11 At The End of the Appraisal Period; Section 8.60.11A, Narrative Appraisal; 8.60.11B, Appraisal Rating; and Section 8.60.11C, Appraisal Interview, Mississippi State Personnel Board Policy and Procedures Manual.); and
- H. Initiate corrective action when performance falls below Meets Expectations, level 2.0, and assist employee in improving "Fails to Meet Expectations" performance to the "Meets Expectations" level 2.0. Complete the Performance Improvement Plan, SPB Form 802-1 and -3, with the employee at the beginning of the Performance Improvement Period, retain the original, provide the employee a copy and send a copy to the agency personnel office. (Reference the SPAHRS User Training Notebook, Performance Appraisal segment for more detailed information regarding procedure for submission of Performance Appraisal ratings in SPAHRS.)

8.50.4 Responsibilities of the First-level Reviewer

The First-level Reviewer is responsible for the following procedures pertaining to the completion of the Performance Appraisal Review Forms and shall:

- A. Review the duties/performance standards on SPB Form 800-1 and -3, and discuss the contents with the rating supervisor. Resolve any differences between the rating supervisor and employee on duties/ performance standards written on SPB Form 800-3. Then, indicate approval by signing and dating Section 3, SPB Form 800-1. The SPB Form 800-1 and -3 should be completed within fourteen (14) days of the beginning of the appraisal period;
- B. Monitor duties/performance standards to provide consistency in the same or similar jobs and among all subordinate rating supervisors;
- C. Review and discuss with the rating supervisor the documentation that supports the narrative appraisal and the rating, SPB Form 800-3, within fourteen (14) days prior to the end of the appraisal period. This will take place prior to the employee and rating supervisor meeting to discuss the narrative appraisal and rating. Section 6, SPB Form 800-1 should be completed at this time; and
- D. Ensure against bias or discrepancies in ratings by the rating supervisor.

8.50.5 Responsibilities of the Second Level Reviewer

Second Level Reviewer (typically the immediate supervisor of the First-level Reviewer) is responsible for the following and shall:

- A. Resolve differences that the first-level reviewer was unable to resolve;
- B. If unable to resolve the differences that exist between any of the parties (e.g., the employee, the rating supervisor, and/or first-level reviewer), convene the Review Committee (if the agency elects this option) for an advisory opinion; and
- C. Issue management's decision on the disputed duties/performance standards. (This decision is final with the exception of being overruled only by the Agency Head.) (See Section 8.60.6, Resolving Differences on Duties/Performance Standards, Mississippi State Personnel Board Policy and Procedures Manual.)

8.50.6 Responsibilities of the Employee

The Employee is responsible for the following and shall:

- A. Cooperate with the rating supervisor in the selection and development of duties/performance standards. Sign and date Section 3, SPB Form 800-1 and -3, a copy, of which will be given to the employee;
- B. Notify the rating supervisor of any facts or circumstances which should be considered when selecting or developing duties/performance standards or when appraising performance;
- C. Discuss with the rating supervisor current performance, ways to improve performance, and successfully perform the duties of the position at the Meets Expectations level, 2.0 or above;
- D. During the sixth month of the appraisal period after discussing with the rating supervisor, sign and date SPB Form 801, Record of Review and Feedback Session and initial Section 4, SPB Form 800-1, Performance Appraisal Review Report;
- E. Inform the rating supervisor at any time during the appraisal period of circumstances that may impact or deter the employee from the successful performance of duties or the meeting of assigned deadlines; and
- F. Within fourteen (14) days prior to the end of the appraisal period, meet with rating supervisor to discuss the documentation, written narrative, and rating. Initial concurrence or non-concurrence of the appraisal rating or acknowledge that the appraisal rating was discussed. Refusal to sign does not affect/negate the rating. Refusal to sign SPB Form 800-1 acknowledging that the appraisal

rating has been discussed shall be, following a warning, considered an act of insubordination.

8.50.7 Responsibilities of the Review Committee

The Review Committee (if the Agency accepts this option) is responsible (when convened by the Second Level Reviewer) for and shall:

- A. Review unresolved differences between the employee and the rating supervisor and/or the first-level reviewer regarding duties/performance standards and provide a recommendation to the second level reviewer as to the disposition of the matter;
- B. Ensure that the duties/performance standards and weights are defined so that equity is maintained within the agency; and
- C. Maintain the consistency of duties/performance standards with the goals of the work unit and the mission of the agency.

8.60 APPRAISAL SYSTEM PROCESS

8.60.1 The Beginning of the Appraisal Period

Performance Appraisal Review is designed to be a “no surprises” system. The rating supervisor and employee are to decide the important accomplishments of the job and come to an understanding of what is *Meets Expectations* performance. Job duties and performance standards are determined and communicated at the beginning of the appraisal period. Therefore, the employee has a target to aim for and is not expected to guess what performance is expected.

For the Performance Appraisal Review system to be effective, everyone involved must understand what is expected of him/her. This is true for the employee, rating supervisor, first-level reviewer, and upper management. Rating supervisors should explain the “what, how, why, and when” of the Performance Appraisal Review process and answer all employee questions.

With assistance from the employee, the rating supervisor shall develop the duties/performance standards for the position. This is done through one or more planning sessions which shall be completed within the first fourteen (14) days of the beginning of the appraisal period, i.e., employee hire date, promotion, transfer, reclassification, reallocation, demotion, last reported performance appraisal rating or an agency-established appraisal start date. (Reference the SPAHRS User Training Notebook, Performance Appraisal segment for more detailed information regarding

procedures for requirements of PAR rating prior to processing personnel action in SPAHRS.)

8.60.1A Defining Duties

The duties/performance standards shall be established and documented in Section 2, SPB Form 800-3, and discussed with the employee. The signatures of the rating supervisor, employee, and first-level reviewer are required as documentation that the planning session was conducted and that the rating supervisor discussed the requirements for achieving an appraisal rating at the Meets Expectations, level 2.0. Then a copy of the signed and dated SPB Form 800-1 and -3 should be provided to the employee and the original maintained by the rating supervisor in the employee's Supplemental Employee Performance Folder. (See Section 8.60.6, Resolving Differences on Duties/Performance Standards, Mississippi State Personnel Board Policy and Procedures Manual.)

A duty is a distinct, major role or function, which may include any number of tasks. It is one of an employee's principal responsibilities and occupies a significant portion of work time. In developing duty statements, knowledge or abilities possessed by the employee should be avoided. Describe what the employee actually does, not what he/she knows or is able to do. The duty statement should be significantly descriptive to include all major components to that duty.

There are several techniques and sources of information that will be helpful in defining the job and in setting duties/performance standards. All the techniques are a form of job analysis. The rating supervisor, along with the employee, has the primary responsibility of determining the duties/performance standards that are most applicable to the employee's position.

- A. Class specification/description is a good place to start; however, being a general description of the duties, very few employees do everything listed and most have duties other than those listed. For those reasons, it *usually* will not be appropriate to utilize only the list of duties identified on the class specification-/description.
- B. Job Content Questionnaire is an important resource to help develop duty statements. The JCO is a type of position questionnaire, which describes duties, and responsibilities of the position. On the JCO, each job incumbent is asked to provide data about himself/herself and his/her job in his/her own words. The employee lists the duties, tasks and responsibilities of his/her position. Independently, the employee's supervisor lists the duties, tasks, and responsibilities of the employee's position. Then the employee and the supervisor discuss what they perceive to be the duties, tasks, and responsibilities of the position. From this evolves one job content questionnaire for the employee. The

performance appraisal process depends on well-defined duties, listed on the JCQ, which accurately describe the job.

- C. Checklist -- a list of common/generic duties/performance standards assigned to certain job categories may be developed. Rating supervisors and employees may choose the duties/performance standards from that list, which apply to a particular position. The amount of freedom used by rating supervisors and employees in adding and choosing duties/performance standards from the list depends on how similar agency management wants certain occupations and types of positions.

In writing the duty statements, the language should be as specific as possible and describe an activity for which it is relatively simple to obtain performance data. The task analysis method used to fill out the Job Content Questionnaire is recommended. The JCQ is the job analysis. Therefore, the JCQ must be written accurately to reflect the job responsibilities accurately. If the duty statements are not written in such a way as to accurately reflect the job, then the job will not be defined properly and causes problems in the evaluation of the job performance. It is recommended that well-defined duties be transferred from the employee's JCQ to the employee's SPB Form 800-3 and then measurable standards determined.

- D. After completing the duty statements, consider the following questions and if the answer is "no" to any, consider eliminating the duty. Is it:
 - 1. Purposeful/goal oriented? Does it contribute to work unit objectives?
 - 2. Required to do the job? Does it reflect the duties and responsibilities of the job and the work assigned to the employee?
 - 3. Observable (and/or measurable)? Does it identify job-related behaviors and work outcomes and not traits, knowledge, skills, or abilities?
 - 4. A significant component of the job? Is it important enough and done often enough to make it worth evaluating?
 - 5. Distinguishable from other performance duties? Does it stand on its own? Is it clearly different from other duties?
 - 6. Within the employee's control?

8.60.1B Defining Measurable Standards

Performance standards are used to measure the employee's actual accomplishment of the duties. In measurable terms, they indicate what is required of an employee and

should tie requirements of the job to agency goals, mission, and policy. Standards should always measure work output and should not measure attitudes or personality traits, such as intuition, sense of humor, etc. (except as those traits are reflected in actual performance).

Performance standards provide a factual basis for accountability in place of reliance on guesses, opinions, and feelings. Performance standards provide a means for the individual employee to measure his/her own performance. Performance standards measure the level of performance required on a specific job and must always conform to organizational goals and policy.

Performance standards can be prepared for all positions. Standards may be easier to write for routine, repetitive operations; however, performance standards can be developed for high-level non-routine positions. To say that written requirements or standards cannot be prepared for a position is the same as saying that the supervisor does not know what he/she expects of the employee and the employee's work cannot be evaluated.

Performance standards are written to define what constitutes Meets Expectations (2.0) - the level of performance, which can be expected of any employee designated to perform the same assignments under the same conditions. A Meets Expectations (2.0) rating means that the employee, in accomplishing his/her duties/performance standards, is doing all things necessary in his/her job to meet all applicable agency goals and annual work plans. Standards for employees who are learning a new job may be lower than those for more experienced employees.

Performance standards are to be written for each specific position. Although performance standards can be written for a class of identical positions, this does not negate the obligation of the rating supervisor to make changes as necessary according to the particular job responsibilities. (See Section 8.60.5, Required Review of Duties/Performance Standards, Mississippi State Personnel Board Policy and Procedures Manual.)

Finalizing duties/performance standards, at the Meets Expectations level (2.0), should be a joint effort of the rating supervisor and the employee. Discussion of the duties/performance standards helps make them more understandable. In the event of differences between the rating supervisor and employee concerning duties/performance standards, agency management has the final authority as to the duties/performance standards to be measured. (See Section 8.60.6, Resolving Differences on Duties/Performance Standards, Mississippi State Personnel Board Policy and Procedures Manual.)

Commonly used units of measure for standards are: Quality - how well a performance duty is done; Quantity - how much is done; Timeliness - how fast it is done; Manner - the

way or style in which it is done; Method - procedural and technical considerations, policy issues; and Cost - dollar and manpower factors.

The duties/performance standards recorded on SPB Form 800-3 should be the ones that an employee actually does as indicated on the employee's JCQ and should be limited to ten (10) or less.

8.60.1C Weight Scale

Weights help determine the importance of satisfactory accomplishment of the job. Weights must be determined and added on the SPB Form 800-3 by the rating supervisor for the employee's position at the beginning of the appraisal period. The weight scale is defined as follows:

- A. Important to the position and goal attainment. Any duty/performance standard assigned a weight of one (1) is viewed as important to the employee's position.
- B. Very important to the position and goal attainment. Any duty/performance standard assigned a weight of two (2) is viewed as very important to the employee's position. The essential functions (defined by the rating supervisor on the JCQ) of the employee's position should be assigned a weight of two (2) on the employee's SPB Form 800-3.

8.60.1D Performance Rating Scale

The performance rating scale (a three-point scale) is used to evaluate each duty/performance standard of an employee's work output. The performance standards developed and written on SPB Form 800-3 are at the Meets Expectations (2.0) level. A Meets Expectations rating means that the employee, in accomplishing his/her duties/performance standards, is doing all things necessary in his/her job to meet all applicable agency goals and annual work plans. The benchmarks on the scale are as follows:

- 3.0-----Exceeds Expectations
- 2.0-----Meets Expectations
- 1.0-----Fails to Meet Expectations

3.0 EXCEEDS EXPECTATIONS - This rating indicates that performance exceeds requirements or expectations for the position as defined in Meets Expectations. Any level of performance that exceeds 2.0, Meets Expectations, would be Exceeds Expectations (3.0).

2.0 MEETS EXPECTATIONS - The level of performance expected of any employee designated to perform the same assignments under the same conditions. A

Meets Expectations level (2.0) rating means that the employee, in accomplishing his/her duties/performance standards, is doing all things necessary in his/her job to meet all applicable agency goals and annual work plans. The Meets Expectations level (2.0) is described as the level that must be reached by each employee in order for the agency to accomplish agency goals and annual work plans.

- 1.0 FAILS TO MEET EXPECTATIONS** - This rating recognizes an employee's overall performance is below that required of the position in order to meet agency goals and expectations. If performance, when compared to planned goals, drops below a 2.0, Meets Expectations, into the 1.0, Fails to Meet Expectations, improvement must take place through the help of a Performance Improvement Plan. The employee must be told that performance is to be improved to the Meets Expectations level (2.0) by the end of the performance observation period (90 days). Failure by the employee to improve job performance, after the ninety (90) day performance improvement period, shall constitute cause for dismissal, demotion, or transfer.

Ratings for individual job duties are evaluated only on the benchmarks of 1.00, 2.00, or 3.00. A rating between benchmarks is not valid for an individual job duty. However, an overall appraisal rating within the ranges of 1.00 to 1.99, or 2.00 to 2.99 will be possible after the total performance points are divided by the total of the weights.

8.60.5 Required Review of Duties/Performance Standards

Each agency will develop common/generic duties/performance standards for similar or identical agency positions. Common/generic duties/performance standards may be identified, developed, and issued for certain occupations and types of positions in each agency. The rating supervisor and the employee will review together agency established duties/performance standards and add ones that specifically address the unique duties of the employee that are necessary to goal accomplishment of the work unit.

The rating supervisor has the authority to interpret and adapt these common/generic duties/performance standards and/or to develop additional job related duties/performance standards in order to identify specific expectations for individual positions/employees.

Each agency will provide for at least one higher level, automatic review of the duties/performance standards identified for each position/employee. If there is disagreement after the first level of review, a second level of review is required. The supervisor of the first-level reviewer should conduct the second level review. If differences cannot be resolved, the second level reviewer is required to convene a review committee (if this option is elected by the Agency Head) for its recommendations prior to the second level reviewer's decision.

The purpose of review will be:

- A. To ensure consistency, where appropriate, in the duties/performance standards for similar positions in the agency;
- B. To review the distribution and priority of work as implied by the duties/performance standards;
- C. To ensure consistency between the duties/performance standards and organization function statements as well as class specifications; and
- D. To ensure compliance with the provisions of these regulations.

Where the second level reviewer convenes a review committee for the above purposes, the authority of the committee will be limited to making recommendations for the second level reviewer's decision.

8.60.6 Resolving Differences on Duties/Performance Standards

Recognizing that an organization cannot function effectively where there are differences among its employees regarding work assignments, priorities, quality of work, or where there are concerns about equity and fairness, the agency will try to resolve differences, which arise between the rating supervisor and the employee regarding duties/performance standards.

In the event of differences between the rating supervisor and the employee concerning duties/performance standards, the rating supervisor shall ask the employee to provide written comments within four (4) working days from the date of their meeting as to why he/she does not concur with the duties/performance standards. After receipt of the employee's written comments, the rating supervisor shall schedule a meeting with the employee and first-level reviewer and attempt to resolve the differences. If the differences cannot be resolved at this level, the differences shall be referred to the second level reviewer for resolution. **The second level reviewer issues management's decision on the disputed duties/performance standards.** (This decision is final with the exception of being overruled ONLY by the Agency Head.)

Where differences as to duties/performance standards are not resolved, the Agency Head will be informed as to those differences. The Agency Head's intervention is discretionary, but the Agency Head must have knowledge of the differences. If the Agency Head chooses not to intervene, then the final decision rests with the second level reviewer.

Duties/performance standards established as criteria for performance appraisal are management decisions that are NOT grievable; therefore, State Personnel Board grievance policy and procedures DO NOT apply to the resolution of differences regarding duties/performance standards.

After the resolution process has been completed, the employee will complete the "Employee Response" portion of Section 3 of SPB Form 800-1. If the employee continues to object to the duties/performance standards, the employee should initial the "does not concur" option. However, the employee should be advised that the PAR document reflects the expectations of his/her job, that the duties/performance standards are valid even without his/her concurrence, and that he/she will be evaluated accordingly.

8.60.7 Changes to Duties/Performance Standards

Changes in the identified duties/performance standards and weights may be required during the appraisal period if duties, resources, and/or priorities change.

Changes to duties/performance standards and weights made in a Review and Feedback session or after at least a ninety (90) day performance observation period must be signed and dated by the rating supervisor, employee, and first-level reviewer documenting that a meeting was held and the changes discussed. Review procedures apply to these changes.

8.60.8 Supplemental Employee Performance Folder (SEPF)

A Supplemental Employee Performance Folder must be maintained by the rating supervisor on each employee for the current appraisal period. The folder should contain (1) the rating supervisor's copies of the employee's Performance Appraisal Review Report, SPB Form 800-1 and -3; (2) a current (less than twelve (12) months), legible representative Job Content Questionnaire signed by the employee and the rating supervisor; (3) any narrative statements about the performance; (4) examples of work when appropriate; (5) results of each review and feedback session, SPB Form 801; (6) Performance Improvement Plan, SPB Form 802-1 and -3, if pertinent; and, (7) any information the employee may want to contribute. Rating supervisors are encouraged to use the SEPF for written descriptions of specific employee performance, both positive and negative, observed by the rating supervisor and related to the employee's duties/performance standards.

Any performance data collected on an employee in the SEPF must be maintained in a secure file by the rating supervisor and not be shared with anyone except the employee who is the subject of the data and the first-level reviewer. All material in the SEPF is available upon request to the employee for review. The rating supervisor will use the contents of the SEPF for the review and feedback session as well as for preparing

the narrative performance appraisal statements for each duty/performance standard and in arriving at an appraisal rating.

The type of information to be collected depends upon what is being measured by the performance standard. For example, if the standard is "X" number of cases processed per week, the number of cases must be counted and appropriate notation made in the employee's record; if the standard specifies meeting a deadline, the date the work was given to the rating supervisor should be compared to the deadline date and appropriate notation made to the employee's record; if the standard is written to indicate that the written product was completed according to standard operating procedures, then appropriate notation should be made as to whether this was the case or not and, if not, in what way was the product incomplete, etc.

If an employee has failed to meet a performance standard for reasons beyond his/her control, then this fact and the reasons should be noted in the employee's SEPF record.

Data can be collected by sampling work products, by observing behavior or work products at certain times, self-reporting by the employee, or any other relevant documentation.

8.60.9 Review and Feedback Sessions

The purposes of the review and feedback sessions during the appraisal period are:

- A. To provide feedback to the employee concerning the overall assessment of performance during the rating period.
- B. To review and update duties/performance standards in light of changing requirements of the employee's position.
- C. To identify areas of performance requiring improvement and to identify methods/training needed to facilitate that improvement.

The rating supervisor shall conduct a review and feedback session with the employee, every three (3) months is recommended, but a minimum of one formal review during the sixth month of the appraisal period is required.

For the rating supervisor to be prepared for the employee review and feedback session, proper documentation of employee performance is very necessary. The rating supervisor must review the contents of the Supplemental Employee Performance Folder (SEPF) against the duties/performance standards in order to note accomplishments and results that have been achieved as well as areas where improvement is needed. Other helpful information or documentation would be the class specification for the employee's position, the Job Content Questionnaire, a list of standard operating

procedures, agency regulations, or position or agency goals. Be prepared for any potential questions or reactions from the employee.

After reviewing the employee's SEPF and prior to the review and feedback session, the rating supervisor should review the employee's performance with his/her supervisor (first-level reviewer). This is to gain any additional insight he/she may have regarding the employee's performance, the employee's growth potential, the possibility of promotional opportunity, or organizational changes, which could affect the employee. This session will be of value to the rating supervisor and the employee in that it gives the rating supervisor and first-level reviewer the opportunity to share information regarding the employee's performance.

The rating supervisor must give advance notice to the employee of the date and time for the review and feedback session.

The employee's role in preparing for the review and feedback session is to review his/her major duties/performance standards; to review his/her last appraisal rating, noting any accomplishments or improvements since that time; to objectively review the quality and quantity of the work performed and/or resources used to get the work done; and to identify any current or potential changes in the duties which might affect the position as it is currently performed. Through the review and feedback session, the employee is given the opportunity to ask questions, make comments and apprise the rating supervisor of additional pertinent facts regarding his/her performance during the current appraisal period.

At the completion of the review and feedback session, SPB Form 801 must be signed and dated by the rating supervisor and employee. In addition, the rating supervisor must date and initial and the employee initial Section 4 of SPB Form 800-1.

8.60.10 Performance Improvement Plan (PIP)

A. Informal Efforts

When the rating supervisor notices that any area of an employee's performance is below Meets Expectations, level 2.0, then the rating supervisor must discuss with the employee specific action/steps to be taken by both rating supervisor and employee to improve performance. The rating supervisor should initiate the following informal actions: (1) counseling on a systematic, job-related basis; (2) regular and careful review of work, and (3) on/off-site training.

B. Formal Performance Improvement Plan

Where informal performance improvement efforts do not result in improved performance, or when the rating supervisor, in conjunction with or following a

review or feedback session or an appraisal rating concludes that the overall job performance of an employee is less than level 2.0, Meets Expectations, the rating supervisor must follow the procedures outlined in the section 8.60.11, and complete the Performance Appraisal Review Report, SPB Form 800-1 and -3 beginning with Step 6 of the Instructions For Completing Performance Appraisal Review Report and arrive at an overall appraisal rating less than 2.0 (Step 7). For online SPAHRS purposes, the rating supervisor must initial the reason for completing the narrative appraisal and rating and submit the original SPB Form 800-1 and -3 (Step 8) to the agency personnel office. (Reference the SPAHRS User Training Notebook, Performance Appraisals Segment for more detailed information regarding submission of Performance Appraisal ratings and the Performance Improvement Plan procedure in SPAHRS.)

A Performance Improvement Plan will be developed with the participation of the affected employee, put in writing by completing SPB Form 802-1 and -3, and subject to the approval of agency management.

The Performance Improvement Plan includes the following:

1. An explanation of only the duties/performance standards in which the employee's performance is less than level 2.0. (This may indicate a lack of knowledge, skills or abilities needed by the employee to carry out specified job expectations; therefore, it is essential that employee and rating supervisor identify, define, agree to, and record these expectations so that the employee can improve and reach the **Meets Expectations** level of performance.);
2. Specify on the **Form 802-1 and -3** the duties/performance standards which require improvement;
3. Define specific steps or recommendations for the employee to achieve in order to improve performance to the Meets Expectations level; and
4. Specify dates for periodic counseling and reassessment by the rating supervisor during the ninety (90) day period.

At the completion of the meeting to establish the Performance Improvement Plan, Section 3, SPB Form 802-3, must be signed and dated by the rating supervisor, employee, and First-level Reviewer. In addition, the rating supervisor must complete the dates of the Performance Improvement Plan period and the PIP begins the date the employee signs the document and concludes at the end of the ninety (90) days.

In addition to completing the Performance Improvement Plan, the rating supervisor and employee will complete a new SPB Form 800-1 and -3, Performance Appraisal Review Report, with all duties/performance standards including those on the Performance Improvement Plan. Add an asterisk by the number of the duty(ies)/performance standards to be listed on the Performance Improvement Plan with a notation such as "see more complete information on the Performance Improvement Plan, SPB Form 802-1 and -3". The employee must improve his/her total performance to an overall appraisal rating of Meets Expectations. This SPB Form 800-1 and -3 will run concurrently with the ninety (90) day Performance Improvement Plan. The rating supervisor must provide the employee a signed and dated copy of the Performance Improvement Plan, SPB Form 802-1 and -3 at the beginning of the performance improvement period, as well as completed copies of the Performance Appraisal Review Report, SPB Form 800-1 and -3, and retain the original in the employee's Supplemental Employee Performance Folder. A copy of SPB Form 800-1 and -3 and SPB Form 802-1 and -3, initiating the ninety (90) day Performance Improvement Plan, must be submitted to the agency personnel office.

The employee is to be told that overall performance must be improved to the level 2.0 Meets Expectations by the end of the performance observation period in order to justify retention and must be provided a period of ninety (90) days to demonstrate improved performance.

Records must be maintained to clearly identify the employee's weakness(es) and the corrective action(s) to be taken by the rating supervisor as well as the employee. As part of the record keeping process, a review and feedback session should be held with the employee around the 45th day of the 90-day PIP period and the SPB Form 801, Record of Review and Feedback, should be completed.

Failure by the employee to improve job performance by the conclusion of the 90- day PIP period shall constitute cause for dismissal, demotion, or transfer. (See Section 5.05.3, Demotional Transfers, of the Mississippi State Personnel Board Policy and Procedures Manual.)

C. Improvement in Performance

At the conclusion of the ninety (90) day **Performance Improvement Plan**, if the employee's performance has improved to the **Meets Expectations** level **2.0** or above, the rating supervisor will:

1. Follow the policy and procedures outlined in Sections 8.60.11, 8.60.11A, B and C. Complete and sign SPB Form 800-1 and -3, Section 5, (Step 6) and

Section 6, (Step 7) documenting performance while on Performance Improvement Plan;

2. Discuss the narrative appraisal, rating, and documentation with the first-level reviewer for his/her approval, signature, and date;
3. Schedule and hold an appraisal interview with the employee and obtain any comments, signature and date on SPB Form 800-1, Section 6;
4. For online SPAHRS purposes, initial the reason for completing the narrative appraisal and rating. Keep a copy of the completed SPB Form 800 -1 and -3, provide a copy to the employee, and send the original to the agency personnel office. (Reference the SPAHRS User Training Notebook, Performance Appraisal segment, for more detailed information regarding submission of Performance Appraisal ratings in SPAHRS.);
5. Begin a new performance appraisal period by completing SPB Form 800-1 and -3 according to policy and procedures.

D. Continued Performance Below Meets Expectations

At the conclusion of the ninety (90) day Performance Improvement Plan, if the employee's performance has **not** improved to the Meets Expectations level of 2.0 or above, the rating supervisor will:

1. Follow the policy and procedures outlined in Sections 8.60.11, 8.60.11A, B and C. Complete and sign SPB Form 800-1 and -3, Section 5, (Step 6) and Section 6, (Step 7) documenting performance while on the Performance Improvement Plan;
2. Discuss the narrative appraisal, rating, and documentation with the first-level reviewer for his/her approval, signature, and date;
3. Schedule and hold an appraisal interview with the employee and obtain any comments, signature and date on SPB Form 800-1, Section 6;
4. Submit through appropriate lines of administration, the recommended action to be taken as a result of the employee's failure to improve performance (demotion, transfer, termination). Supporting documentation shall be submitted along with the recommendation. If the employee has not demonstrated improvement, the rating supervisor, in conjunction with the first and second level reviewers, agency head/designee may take appropriate personnel action or the PIP may be extended for another ninety (90) day period. If the extension is approved, a new ninety

(90) day Performance Improvement Plan begins by completing SPB Form 802-1 and -3 and SPB Form 800-1 and -3 according to instructions; and

- E. For online SPAHRS purposes, initial the reason for completing the narrative appraisal and rating. After SPB Form 800-1 and -3 are completed and all signatures and dates affixed, retain a copy, provide a copy to the employee and send the original to the agency personnel office. (Reference the SPAHRS User Training Notebook, Performance Appraisal segment, for more detailed information regarding submission of Performance Appraisal ratings in SPAHRS.)

8.60.11 At the End of the Appraisal Period

A. Narrative Appraisal

Within fourteen (14) days prior to the end of the appraisal period, the rating supervisor begins reviewing and evaluating the narrative statements about the performance, the documented examples of work products, the results of each review and feedback session, and any information the employee contributes as well as any other material in the Supplemental Employee Performance Folder (SEPF). (See 8.60.8, Supplemental Employee Performance Folder (SEPF), Mississippi State Personnel Board Policy and Procedures Manual.)

By comparing actual performance against each performance standard, results actually achieved, quality level actually attained, the rating supervisor completes Section 5, SPB Form 800-3 (Accomplishments/Areas to Improve) by briefly commenting on why the employee was above or below Meets Expectations, (2.0) on each duty/performance standard and rates only on the benchmarks of 1.0, 2.0 or 3.0. Specific work examples should be cited.

The evaluation will not take into consideration areas of work where performance was less than Meets Expectations, level 2.0, but were not covered by duties/performance standards during the appraisal period. Only performance against previously established duties/performance standards can be appraised. Negative comments about performance, which were **not** addressed by specific performance standards, are precluded.

Significant (positive) work accomplishments not anticipated and not covered by duties/performance standards may be documented in the narrative appraisal and may be taken into consideration when arriving at an appraisal rating. The intent is that if performance was negative and was not covered by a performance standard, this data can and should be used as input for the establishment of duties/performance standards for the next appraisal period.

The rating supervisor must take into consideration the cumulative performance of the employee throughout the period covered by the appraisal, rather than concentrating on only one or a few occurrences or periods of performance.

The evaluation must not be based in any way on disciplinary factors, for example, tardiness, physical violence, etc. These factors are handled by already established disciplinary procedures. Performance Appraisal is based on **work outcome only**.

B. Appraisal Rating

Once the narrative has been written for each duty/performance standard and other significant accomplishments (if any) have been noted, an overall appraisal rating is determined. Ratings for individual job duties are evaluated only on the benchmarks of 3.00, 2.00, or 1.00. Arrive at an appraisal rating by multiplying the weight of each duty/performance standard x the rating received by the employee. The sum of all the points is divided by the sum of the weights and equals the overall appraisal rating. An overall appraisal rating within the range of 1.00 to 1.99, or 2.00 to 2.99 will be possible after the total performance points are divided by the total of the weights.

The rating supervisor transfers the overall appraisal rating from the bottom of **Section 5, SPB Form 800-3**, to **Section 6, SPB Form 800-1**, and then discusses the narrative appraisal, rating and documentation with the first-level reviewer for his/her approval, signature and date.

C. Appraisal Interview

The rating supervisor schedules an appraisal interview by selecting a time and a convenient, completely private and comfortable place, and notifies the employee of the scheduled interview. The main purpose of the appraisal interview with the employee is to discuss the documentation, the narrative appraisal, and rating and come to an understanding, if not agreement, on the general level of performance and appraisal rating. Encourage the employee to talk and be a good listener. This provides the rating supervisor an opportunity to observe areas of agreement and to spot important differences. It also gives the employee an opportunity to think through the process, ask questions, and make any comments. When an understanding has been reached, then the employee should sign and date in Section 6, SPB Form 800-1. *Refusal by the employee to sign does not affect/negate the rating. His/her refusal to sign SPB Form 800-1 acknowledging that the appraisal rating has been discussed with him/her shall be, following a warning, considered an act of insubordination.*

For online SPAHRS purposes, initial the reason for completing the narrative appraisal and rating. After the SPB Forms 800-1 and -3 are completed and all signatures and dates affixed within the fourteen (14) days prior to the end of the

appraisal period, the rating supervisor retains a copy as well as any supporting documents used in the evaluation process and provides a copy to the employee and sends the original to the agency personnel office. (Reference the SPAHRS User Training Notebook, Performance Appraisal segment, for more detailed information regarding procedure for submission of Performance Appraisal ratings in SPAHRS.)

8.60.12 Grievance/Appeals Process

State service employees who disagree with the level of a rating (excluding the contents of duties/performance standards) may seek review by appeal to the Employee Appeals Board of the State Personnel Board, after having exhausted the agency grievance procedure. If the employee disagrees and mutual agreement is not possible, then the employee has the right to grieve this end product and the right to be represented by legal counsel if he/she so chooses. Remember that the decision made by management on duties/performance standards is a final decision not subject to the grievance procedure. The final product of the appraisal process is grievable and there is almost a guarantee that an arbitrator will expect fairness and reasonableness in any duties/performance standards, which were not agreed upon by the employee.

8.70 RECORDS MAINTENANCE

Official performance appraisal records will be maintained by each Agency Personnel Director/Officer and will be made available for review by the employee concerned. These records will include, in addition to the narrative appraisal and rating, supplementary or related personnel management documents.

Personnel staff in each agency will retain records that may be evaluated annually by the State Personnel Board or its agent. The results of these reviews will be used to revise the system.

The provisions of the appraisal system will be modified to conform to changes in federal and state laws or in appropriate State Personnel Board rules and regulations. This system will also be modified based upon approved changes resulting from reviews described above.

8.80 TRAINING

The Human Resources Director/Officer in each agency will be responsible for ensuring that each rating supervisor receives training on the provisions of these regulations, specifically including the development of duties/performance standards, appraising performance, counseling and performance improvement, and use of the performance appraisal as a management tool for planning, controlling work, and its relationship to the making of personnel management determinations at a minimum of once a year.

The training is to include a thorough explanation that a part of the rating supervisor's job performance will be evaluated on the basis of the documented performance data in each employee's Supplemental Employee Performance Folder (SEPF). For example, the rating supervisor has evaluated and rated the employee at the **Meets Expectations** level (2.0). Since a "**Meets Expectations**" rating means the employee has performed all necessary pro-rata duties/performance standards necessary to achieve the agency's mission and work plans, if the agency does not achieve its mission/work plans, then the rating supervisor's evaluation of the employee is (1) too high; or (2) the employee may be a "**Meets Expectations**" employee, but the department suffers from deficient supervision and leadership. In either case, the rating supervisor's narrative appraisal and rating are to reflect this when the rating supervisor's performance is evaluated.

Training and technical assistance are available through the State Personnel Board.

SPB Form 800-1
 Revised: July 1, 1996

**MS STATE PERSONNEL BOARD
 PERFORMANCE APPRAISAL REVIEW REPORT**

| | |
|---|------------------------|
| Section 1: GENERAL INFORMATION | |
| Appraisal Period From: _____ to _____ | |
| Employee's Name (Last, First, Middle Initial) | Social Security Number |
| Position (PIN): _____ Agency Name: _____ | |
| Agency # _____ Agency Dept: _____ | |

| |
|--|
| Section 2: DUTIES/PERFORMANCE STANDARDS (To complete, see reverse to instructions.) |
|--|

| | |
|---|-----------------------------|
| Section 3: ACKNOWLEDGEMENT OF DUTIES/PERFORMANCE STANDARDS | |
| Date: _____ | Supervisor Signature: _____ |
| Date: _____ | First-Level Reviewer: _____ |
| Employee Response: <i>(Initial one blank ONLY.)</i> The supervisor has reviewed with me the duties/performance standards. I _____ do _____ do _____ not _____ concur | |
| Date: _____ | Employee Signature: _____ |

| | |
|---------------------------------------|---|
| Section 4: REVIEW AND FEEDBACK | |
| Review Date: _____ | Supervisor Initials: _____ Employee Initials: _____ |

| |
|---|
| Section 5: ACCOMPLISHMENTS/AREAS TO IMPROVE (To complete, see reverse for instructions.) |
|---|

| | |
|--|---|
| Section 6: NARRATIVE APPRAISAL/RATING | |
| Appraisal Rating: _____ | For online SPAHRS purpose, rating supervisor must initial the reason for rating: |
| | Annual Reallocati _____ Intra-Agy Transfer Leave of _____ Inter-Agy Transfer Separatio _____ Reclas s _____ Other _____ |

| | |
|---|--------------------------------|
| on _____ Absence _____ n _____ | |
| Date : _____ | Supervisor Signature: _____ |
| Date : _____ | First-Level Reviewer: _____ |
| Employee Response: <i>(Initial one line ONLY.)</i> | |
| My supervisor has discussed this narrative appraisal/rating with me and I do _____ do _____ not _____ concur. | |
| I acknowledge that the appraisal rating was discussed with me. _____ | |
| Date : _____ | Employee Signature: _____ |

SPB Form 800-2
Revised: July 1, 1999

MS STATE PERSONNEL BOARD
INSTRUCTIONS FOR COMPLETING PERFORMANCE APPRAISAL REVIEW REPORT

To use the Performance Appraisal Review Report, rating supervisors should attend a training program offered by their agency or State Personnel Board. A narrative appraisal and rating are required annually for each covered employee employed for twelve (12) continuous months. Probationary employees will receive a narrative appraisal and rating just prior to the end of six months in probationary status and just prior to the end of the first year. The rating supervisor must explain the Performance Appraisal Review to all employees. The "steps" listed below must be completed to use this system. The word "section" refers to a specific section of this form.

BEGINNING AN APPRAISAL PERIOD: Sections 1, 2 and 3, SPB Form 800-1 and -3, are to be completed for each covered employee within fourteen (14) days from the beginning of an appraisal period.

STEP 1: SECTION 1: GENERAL INFORMATION: Complete the information requested as to the employee, agency, and appraisal period.

STEP 2: SECTION 2: DUTIES/PERFORMANCE STANDARDS: Performance Appraisal is designed to be a "no surprises" system. Duties/performance standards are determined and communicated within fourteen (14) days of the beginning of the appraisal period. The rating supervisor and employee, through two-way communication, will decide the important accomplishments of the job and come to an understanding of what is expected as quality performance using the Job Content Questionnaire. The duties/performance standards should be the ones that an employee actually does as indicated on the employee's JCQ and should be limited to ten (10) or less. The performance standards are written at a **Meets Expectations level (2.0)**. A **Meets Expectations** rating means that the employee, in accomplishing his/her duties/performance standards, is doing all things necessary in his/her job to meet all applicable agency goals and annual work plans.

The rating supervisor completes **Section 2, SPB Form 800-3**, using the common/generic agency established duties/performance standards and adding ones that specifically address the unique duties of the employee that are necessary to the goal accomplishments of the work unit. It is important to remember that not all performance requirements of the employee will necessarily be recorded on the form. In the event of disagreement between the

rating supervisor and employee concerning duties/performance standards, management has the final authority as to the duties/performance standards to be measured.

STEP 3: SECTION 2: WEIGHT SCALE: Weights must be determined and added in **Section 2, SPB Form 800-3**, by the rating supervisor for the employee's position at the beginning of the appraisal period. The weight scale is defined as follows:

1. Important to the position and goal attainment. Any duty/performance standard assigned a weight of one (1) is viewed as important to the employee's position.
2. Very important to the position and goal attainment. Any duty/performance standard assigned a weight of two (2) is viewed as very important to the employee's position. The **essential functions** (defined by the rating supervisor on the JCO) of the employee's position should be assigned a weight of two (2) on the employee's SPB Form 800-3.

STEP 4: SECTION 3: The rating supervisor, employee, and first-level reviewer must sign and date in the spaces provided in **Section 3, SPB Form 800-1**. In addition, the employee must sign and date in the appropriate blank of SPB Form 800-3. For a complete explanation regarding resolving differences between the rating supervisor and the employee concerning duties/performance standards, refer to Section 8.60.6, MS State Personnel Board Policy & Procedures Manual. The rating supervisor must provide a copy to the employee and the appraisal period begins.

STEP 5: SECTION 4: REVIEW AND FEEDBACK: Performance evaluation is an ongoing process. There should be no end-of-year surprises for the employee. The rating supervisor conducts a review and feedback session with the employee, every three months is recommended; however, a minimum of one formal review during the sixth month of the appraisal period is required and documented on the **Review and Feedback, SPB Form 801**. All written reports or documents prepared and discussed become a part of the Supplemental Employee Performance Folder (SEPF). The rating supervisor records the review date, initials and has the employee to initial **Section 4, SPB Form 800-1**.

AT THE END OF THE APPRAISAL PERIOD: Within the fourteen (14) days prior to the end of the appraisal period (See Appraisal Period in Section 1, SPB Form 800-1), the rating supervisor reviews the documents contained in the employee's supplemental employee performance folder against the duties/performance standards and evaluates the employee's performance on each applicable performance standard using the rating scale described below and rates only on the benchmarks of 1.0, 2.0 or 3.0.

STEP 6: SECTION 5: ACCOMPLISHMENTS/AREAS TO IMPROVE: The rating supervisor completes **Section 5, SPB Form 800-3**, by briefly commenting on *why* the employee was above or below **MEETS EXPECTATION (2.0)** on each duty/performance

standard rating only on the benchmarks of 1.0, 2.0 or 3.0. Arrive at an overall appraisal rating by multiplying the weight of each performance standard x the rating earned by the employee. The sum of all the points is divided by the sum of the weights to equal the overall appraisal rating.

STEP 7: SECTION 6: NARRATIVE APPRAISAL/RATING: The rating supervisor transfers the overall appraisal rating from the bottom of **Section 5, SPB Form 800-3** to **Section 6, SPB Form 800-1** and then discusses the narrative appraisal, rating and documentation with the first-level reviewer for his/her approval, signature and date. Next, the rating supervisor schedules and conducts an appraisal interview and discusses the narrative appraisal, rating and documentation with the employee and obtains any comments, a signature and date on the **SPB Form 800-1**. *Refusal by the employee to sign does not affect/negate the rating. His/her refusal to sign SPB Form 800-1 acknowledging that the overall appraisal rating has been discussed with him/her shall be, following a warning, considered an act of insubordination.*

State service employees who disagree with the level of a rating (excluding the contents of duties/performance standards) may seek review by appeal to the Employee Appeals Board of the State Personnel Board, after having exhausted the agency grievance procedure.

STEP 8: After **SPB Forms 800-1 and -3** are completed, all signatures and dates affixed, within the time frame described above, the rating supervisor (for online SPAHRS purpose, the rating supervisor initials the reason for completing the narrative appraisal and rating) keeps a copy, provides a copy to the employee and sends the original to the agency personnel office.

STEP 9: BEGINNING A NEW APPRAISAL PERIOD: The appraisal interview may be used as the planning session for the next appraisal period by returning to **Step 1, SPB Form 800-1** and beginning the process again.

DEFINITION: *A valid appraisal rating* is a rating completed as a result of an employee's job performance within the last 365 days. For more information, refer to Section 8.40.B., MS State Personnel Board Policy and Procedures Manual.

3 POINT RATING SCALE

3.0 EXCEEDS EXPECTATIONS - This rating indicates that performance exceeds requirements or expectations for the position as defined in **MEETS EXPECTATIONS**. Any level of performance that exceeds **2.0, Meets Expectations**, would be **Exceeds Expectations (3.0)**.

- 2.0 MEETS EXPECTATIONS** - The level of performance expected of any employee designated to perform the same assignments under the same conditions. A **Meets Expectations** (2.0) rating means that the employee, in accomplishing his/her duties/performance standards, is doing all things necessary in his/her job to meet all applicable agency goals and annual work plans. The **Meets Expectations level** (2.0) must be reached by each employee in order for the agency to accomplish agency goals and annual work plans.
- 1.0 FAILS TO MEET EXPECTATIONS** - This rating recognizes an employee's overall performance is below that required of the position in order to meet agency goals and expectations. If performance, when compared to planned goals, drops below a **2.0, Meets Expectations**, into the **1.0, Fails to Meet Expectations**, improvement must take place through the help of the Performance Improvement Plan. The employee must be told that performance is to be improved to the **Meets Expectations level** (2.0) by the end of the performance observation period (90 days). Failure by the employee to improve job performance, after the 90 day performance improvement period, shall constitute cause for dismissal, demotion or transfer.

SPB Form 800-3
 Revised: July 1, 1999

MS STATE PERSONNEL BOARD
 PERFORMANCE APPRAISAL REVIEW REPORT

Page ____ of ____

Employee's Signature: _____

Date: _____

| Section 2. Duties / Performance Standards | WT | Section 5. Accomplishments / Areas To Improve | Weight x Rating = Points (1 or 2) (1.0, 2.0 or 3.0) |
|--|----|--|--|
| | | | ____ X ____ = |
| | | | ____ X ____ = |
| | | | ____ X ____ = |
| | | | ____ X ____ = |
| | | | ____ X ____ = |
| | | | ____ X ____ = |
| | | | ____ X ____ = |

 TOTAL WEIGHT TOTAL

POINTS

TOTAL POINTS) TOTAL WEIGHT = OVERALL APPRAISAL

RATING

_____) _____ = _____

| | |
|-------------|------------------|
| _____ | Signature: _____ |
| Date: _____ | Employee _____ |
| | Signature: _____ |

SPB Form 801-2
Revised: July 1, 1999

INSTRUCTIONS FOR COMPLETING RECORD OF REVIEW AND FEEDBACK SESSION

The purposes of a review and feedback session during the appraisal period are:

1. To provide feedback to the employee concerning the overall assessment of performance during the rating period;
2. To review and update duties/performance standards in light of changing requirements or responsibilities of the employee's position; and
3. To identify areas of performance requiring improvement and to identify methods/training needed to facilitate improvement.

The rating supervisor shall conduct a review and feedback session with the employee, every three months is recommended, but a minimum of one formal review during the sixth month of the appraisal period is required and documented on **SPB Form 801** by completing **Sections 1, 2, and 3** and then completing **Section 4, of SPB Form 800-1, Performance Appraisal Review Report**.

STEP 1: GENERAL INFORMATION: Complete the information requested as to the employee, agency, appraisal period (same appraisal period on the **SPB Form 800-1**) and date the review and feedback was held.

STEP 2: DUTIES/PERFORMANCE STANDARDS: The completion of this section serves as a record of what transpired in each review and feedback session. The rating supervisor must review the contents of the Supplemental Employee Performance Folder (SEPF) against the duties/performance standards in order to note accomplishments and results that have been achieved. Statements should reflect progress of employee toward meeting duties/performance standards, any pertinent changes in the duties/performance standards, any necessary changes in the appraisal period, problem areas noted, and if a Performance Improvement Plan was initiated.

STEP 3: ACKNOWLEDGEMENT OF REVIEW AND FEEDBACK SESSION: At the completion of **Review and Feedback Session, Section 3, SPB Form 801** must be signed, and dated by the supervisor and employee. Also, the supervisor must date and initial, and the employee initial **Section 4 of SPB Form 800-1**.

STEP 4: Provide the employee with a copy of the completed **Record of Review and Feedback Session, SPB Form 801** and retain the original in the employee's

supplemental employee performance folder maintained by the rating supervisor during the appraisal period.

SPB Form 802-1

Revised: July 1, 1999

**MS STATE PERSONNEL BOARD
PERFORMANCE IMPROVEMENT PLAN**

| Section 1: GENERAL INFORMATION | |
|--|--------------------|
| Performance Improvement Plan | |
| Period: _____ to _____ (period will be 90 days) | |
| Employee's Name (Last, First, Middle Initial) | Title |
| Position (PIN): _____ | Agency Name: _____ |

| Section 2: DUTIES/PERFORMANCE STANDARDS | |
|---|---|
| An explanation of Duties/Performance standards in which performance is below "Meets Expectations" (2.0) | Identify specific steps or action plans to correct demonstrated weaknesses with follow-up dates for periodic counseling and reassessment. Solicit employee's ideas for improvement, development, problem solving, and alternatives. |
| | |

| Section 3: ACKNOWLEDGEMENT OF REVIEW AND FEEDBACK SESSION | |
|---|---|
| Date: _____ | First-Level Reviewer: _____ Supervisor |
| Date: _____ | Signature: _____ Employee |
| Date: _____ | Signature: _____ |

SPB Form 802-2
Revised: July 1, 1999

**INSTRUCTIONS FOR COMPLETING
PERFORMANCE IMPROVEMENT PLAN**

When the rating supervisor notices that any area of an employee's performance is below **Meets Expectations**, then the rating supervisor must discuss with the employee specific action/steps to be taken by both rating supervisor and employee to improve performance. The rating supervisor should initiate the following informal actions: (1) counseling on a systematic, job-related basis; (2) regular and careful review of work, (3) on/off-site training. When informal performance improvement efforts do not result in improved performance, or when the rating supervisor, in conjunction with or following a review or feedback session or overall appraisal rating concludes that the job performance of an employee is below **Meets Expectations, level 2.0**, the rating supervisor must complete the **Performance Appraisal Review Report, SPB Form 800-1 and -3** beginning with Step 6 and arrive at an appraisal rating below level 2.0 (Step 7) and submit the original (Step 8) to your agency personnel office. A **Performance Improvement Plan**, using **SPB Form 802-1 and -3**, will be developed with the participation of the employee, and subject to approval by agency management.

STEP 1: GENERAL INFORMATION: Complete the information requested as to the ninety (90) day PIP appraisal period, employee's name, title, position identification number, and agency name.

STEP 2: DUTIES/PERFORMANCE STANDARDS: In implementing a Performance Improvement Plan, the rating supervisor will discuss with the employee and complete **Section 2, SPB Form 802-1 and -3** as follows:

1. An explanation of **only** the duties/performance standards in which the employee's performance is below level 2.0;
2. Specify on the **Form 802-1 and -3** the duties/performance standards which require improvement;
3. Define specific steps or recommendations for the employee to achieve in order to improve performance to the **Meets Expectations, level 2.0**; and
4. Specify dates for periodic counseling and reassessment by the rating supervisor during the ninety (90) day period.

STEP 3: ACKNOWLEDGEMENT OF PERFORMANCE IMPROVEMENT PLAN: At the completion of the meeting to implement the **Performance Improvement Plan, Section 3, SPB Form 802-3** is to be signed and dated by the rating supervisor, employee, and First-level Reviewer. Also, the rating supervisor must complete the dates of the Performance Improvement Plan period. The **PIP** begins the date the employee signs the document and concludes at the end of ninety (90) days.

The employee is to be told that overall performance is to be improved to **Meets Expectations, level 2.0** by the end of the performance observation period in order to justify retention and must be provided a period of ninety (90) days to demonstrate improved performance.

In addition to completing the Performance Improvement Plan, the rating supervisor and employee will complete a new **SPB Form 800-1 and -3, Performance Appraisal Review Report**, with **all** duties/performance standards including those on Performance Improvement Plan. Add an asterisk by the number of the duty(ies)/performance standards to be listed on the Performance Improvement Plan with a notation such as “see more complete information on the Performance Improvement Plan, SPB Form 802-and -3”. The employee must improve his/her total performance to an overall appraisal rating of **Meets Expectations**. This SPB Form 800-1 and -3 will run concurrently with the ninety (90) day Performance Improvement Plan.

Records must be maintained to clearly identify the employee's weakness(es) and the corrective action(s) to be taken by the rating supervisor as well as the employee. As part of the record keeping process, a review and feedback session should be held with the employee around the 45th day of the ninety (90) day performance observation period and the **SPB Form 801, Record of Review and Feedback** should be completed. Failure by the employee to improve job performance shall, at the conclusion of the ninety (90) day PIP period, constitute cause for dismissal, demotion, or transfer.

STEP 4: Provide the employee a copy of the **Performance Improvement Plan, SPB Form 802-1 and -3** at the beginning of the Performance Improvement Plan Period, as well as completed copies of the Performance Appraisal Review Report, **SPB Form 800-1 and -3**, and retain the originals in the employee's supplemental employee performance folder maintained by the rating supervisor. A copy of **SPB Form 800-1 and -3** with an overall appraisal rating and a copy of **SPB Form 802-1 and -3**, initiating the 90-day Performance Improvement plan must be submitted to the agency personnel office.

STEP 5: IMPROVEMENT IN PERFORMANCE: At the conclusion of the ninety (90) day Performance Improvement plan, if the employee's performance has improved to the **Meets Expectations, level 2.0** or above, the rating supervisor will:

1. Follow the policy and procedures outlined in Section 8.60.11, 8.60.11A, B and C.
Complete and sign **SPB Form 800-1 and 3, Section 5, (Step 6) and Section 6, (Step 7)** documenting performance while on **Performance Improvement Plan**;
2. Discuss the narrative appraisal, rating, and documentation with the first-

- level reviewer for his/her approval, signature, and date;
3. Schedule and hold an appraisal interview with the employee and obtain any comments, signature and date on **SPB Form 800-1, Section 6**;
4. Keep a copy of the **SPB Form 800-1 and -3**, provide a copy to the employee and send the original to the agency personnel office; and
5. Begin a new performance appraisal period by completing **SPB Form 800-1 and -3** according to policy and procedures.

STEP 6: CONTINUED PERFORMANCE BELOW MEETS EXPECTATIONS: At the conclusion of the 90-day **Performance Improvement Plan**, if the employee's performance has **not** improved to the **Meets Expectations**, level **2.0** or above, the rating supervisor will:

1. Follow the policy and procedures outlined in Section 8.60.11, 8.60.11A, B and C.
Complete and sign **SPB Form 800-1 and -3, Section 5, (Step 6) and Section 6, (Step 7)** documenting performance while on the **Performance Improvement Plan**;
2. Discuss the narrative appraisal, rating, and documentation with the first-level reviewer for his/her approval, signature, and date;
3. Schedule and hold an appraisal interview with the employee and obtain any comments, signature and date on **SPB Form 800-1, Section 6**;
4. Submit through appropriate lines of administration, the recommended action to be taken as a result of the employee's failure to improve performance (demotion, transfer, termination). Supporting documentation shall be submitted along with the recommendation. If the employee has not demonstrated improvement, the rating supervisor, in conjunction with the first and second level reviewers, agency head/designee may take appropriate personnel action or the PIP may be extended for another ninety (90) day period. If the extension is approved, a new ninety (90) day Performance Improvement Plan begins by completing **SPB Form 802-1 and -3** and **SPB Form 800-1 and -3** according to policy and procedures; and
5. Retain a copy of the completed **SPB Form 800-1 and -3**, provide a copy to the employee and send the original to the agency personnel office.