PAY FOR PERFORMANCE

EVALUATION SYSTEM

MANUAL

SPACE COAST TRANSPORTATION PLANNING ORGANIZATION
(SCTPO)
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PAY FOR PERFORMANCE EVALUATION SYSTEM MANUAL

I. INTRODUCTION

In nearly every situation involving more than one person some form of evaluation takes place. Two individuals working side-by-side, will observe and form an opinion of each other's work. Thus, a system is needed that will reflect that performance. The question then is not should, but how should the supervisor rate employee job performance?

The act of evaluating an employee's performance is a function of SCTPO's immediate supervisors which cannot be taken lightly. All employees want to know how they are doing.

Employees do not object to fair, constructive criticism, as this will help them to do a better job and to understand what is expected. However, employees do expect and demand that evaluations be as objective as possible, based upon job-related facts and overall performance, and not on opinions, bias, isolated incidents, or personalities.

The procedure for developing the specific performance criteria for each job will be one of participation by the employee and the rater. This type of involvement is essential to the concept of mutual understanding and acceptance of the requirements and expectations.

The success or failure of a Pay for Performance Evaluation Program will depend upon the attitude and understanding of all concerned, but the most important element will be the skill of you as the rater in conducting the evaluation.

This manual has been prepared to assist the SCTPO supervisory personnel in carrying out the intent and purpose of the Employee Performance Evaluation Program in a fair and impartial manner.

II. OBJECTIVES OF PERFORMANCE EVALUATION

The primary objective of the program is to assist the SCTPO employees in improving his/her job performance, in overcoming weaknesses, in order to achieve personal and departmental objectives and goals. It should be used as an opportunity for training, as well as a basis for making intelligent decisions on raises, promotions, permanent appointments, reprimands, layoffs, etc.

The program should not be used primarily to highlight employee weaknesses, or as a "praise session," where no constructive suggestions are offered for improvement.

Performance evaluations are an integral part of SCTPO's personnel management program. It should be used to improve the performance of employees, not as merely a periodic process but as a continuing day-to-day responsibility of good supervision. Basically, performance evaluation should improve employee performance through:

* Strengthening supervisor-employee relationships.
* Identifying work standards, requirements, goals and objectives.
* Recognizing and correcting work deficiencies.
* Assisting as a guide to formal personnel actions.

SCTPO recognizes the need for a system of evaluating the performance of employees in order to:

* Fairly and accurately evaluate an employee's strengths, weaknesses and potential for growth;
* Encourage and guide the employee's development of his/her special skills and work interests;
* Assists in the granting of pay increases and consideration for more complex work based on performance;
* Provide a method of improving operational programs through employee input; and
* Identify training needs.

III. ADMINISTRATION OF THE PROGRAM

A. The Executive Director, or his/her designee, is responsible for the establishment and maintenance of the Pay for Performance Evaluation System, for providing continual guidance on the proper use of the Pay for Performance Evaluation, and for making changes to the system.

B. SCTPO designated raters are responsible for evaluating the performance of employees under their immediate direction.

C. The Executive Assistant is responsible for providing schedules to all management/supervisory personnel in order to assure performance evaluations are prepared and conducted in a timely manner and in accordance with the appropriate procedures.

IV. FREQUENCY OF PAY FOR PERFORMANCE REVIEWS

A. ANNUAL APPRAISAL

1. Each designated rater shall evaluate the overall performance of his/her employees for the purpose of improving performance and recommending a performance increase based on the employee's performance during the twelve (12) month period required, if funds are available.

2. Evaluations for performance shall be done on an annual basis or in accordance with the anniversary date or other designated date and completed within the required period. A recommendation must be made in regard to whether:

   a. The employee's performance during the required time warrants a performance increase or one-time lump sum payment, if funds are available;

   b. The employee's performance during the required period does not warrant a performance increase with appropriate corrective actions prescribed, including but not limited to demotion, removal or termination; or

   c. The employee has not sufficiently demonstrated that a performance increase is warranted and an extension for further observation is recommended in accordance with SCTPO’s Policies and Procedures.

V. REVIEW OF EVALUATION WITH EMPLOYEES

A. The designated rater shall be responsible for reviewing and discussing with each employee his/her evaluation, regardless of whether the evaluation was for probation, semi-annual or annual (Performance) purposes.

B. Employees shall be entitled to five (5) working days to make written comments regarding their evaluation. All employees shall be required to sign their evaluation to acknowledge receipt regardless of whether the employee agrees/disagrees with it or elects to make comments or not.

C. All employees shall be entitled to a copy of each evaluation conducted on them. Copies are to be provided by the individual who conducted the evaluation, and any/all final concerns of the employee addressed.

VI. RECORDS OF EVALUATION

A. GENERAL

This pay-for-performance system is based on performance goals and objectives jointly developed between the person being supervised and the one who is charged with the responsibility of supervising the employee and various performance benchmarks. When the goals and objectives can be expressed in measurable terms it is evident whether the goals have been attained. The system requires that "communication" about performance occur, which implies that both the rater and the employee understand the value of the work done. There are no universally applicable performance criteria which can fit all situations and all position classifications. This system allows for differing conditions and standards. Information developed by SCTPO supplies targets, goals, objectives and their measurements.

If a worker understands what is expected of him/her the chances of the job being performed in a satisfactory manner are much greater than if the employee does not understand. The rater should tell the employee what he/she is supposed to do, how to do it, where to obtain the needed materials, equipment and tools, and who is responsible for his/her training if appropriate. Questions with regard to how well the job is to be done, how fast, improvements expected, quality of work, methods used, and techniques in dealing with others have to be answered. In addition to knowing what is to be done, it is equally important that the job be explained in terms of quality, quantity and manner of performance expected.

B. USE OF PERFORMANCE BENCHMARKS AND GOALS

The rater must have a rating standard for each major work essential function an employee is to perform. Many of these can be taken from the individual’s job description and past performance evaluations. Without such a rating standard the rater would be unable to know when essential functions are completed properly, when to correct or reward the employee(s).

If these rating standards goals or objectives are not explained to the employee, it takes longer to become accustomed to the rater's requirements and methods for improvement.

C. WHO DEVELOPS PERFORMANCE STANDARDS

Those who know a job thoroughly are in a position to develop performance standards for the job. Responsibility for developing performance standards for individual positions is assigned to the individual who is immediately responsible for the work of the employee and who oversees, reviews, and checks the work of the employee, and is most closely acquainted with required performance.

D. SOURCES FOR GOALS, OBJECTIVES, AND RATING STANDARDS

1. ***Job Descriptions*** - Essential functions as described in the individual job descriptions will become an integral part of the evaluation process. This will ensure that the day-to-day activities of each job are considered as opposed to subjective criteria open to interpretation and perception.

2. ***Organizational and Departmental Goals and Objectives*** – Over the years in most departments specific organizational and department objectives and measures have been developed. The SCTPO has developed a Strategic Plan which are an excellent source of specific objectives which can serve as a basis for determining individual and team performance standards.

3. ***Policies and Procedures*** - Adopted policies and procedures that are applicable to all employees, and measurable, will be included as part of the rating criteria.

4. ***Department Policies and Procedures*** - Specific departments may have policies which would be appropriate as performance standards for employees within that department.

5. ***Other Criteria*** - Job-related factors that are generally recognized as being essential to the job but have not been documented elsewhere.

E. DEVELOPING PERFORMANCE REQUIREMENTS

A performance requirement is worthwhile only insofar as it relates to a specific job and is understood by the rater and the employee who is performing the work operations. To be assured that this principle is put into practice, the following basic steps should be taken in developing performance requirements:

* Determine the essential functions of the position.

* Select the important work operations of the position.

* Determine what is a satisfactory performance measure for each function or essential task.

Discuss the tentative performance requirement with the employee, revise as appropriate, and obtain agreement if possible.

Determining the essential functions of the position.

Since performance requirements are directly related to the work results and requirements of the position, a correct statement of the work operations is essential. To begin the job analysis, the supervisor should make a critical review of the position description to determine its accuracy and completeness.

F. TYPES OF PERFORMANCE REQUIREMENTS

1. ***Quality Standards*** - A quality standard describes how well a particular work operation is performed and refers to such elements as accuracy, fitness, usefulness, effectiveness, and economic use of material. It may be expressed in terms of the degree of accuracy required, the appearance or present ability of the work or the general results to be achieved.

G. LEVEL OF THE PERFORMANCE REQUIREMENTS

1. Performance requirements describe adequate or satisfactory performance required of any qualified, competent employee who may be assigned to the position. The standard should define good effective work, and not work that is distinctly better than adequate or work that barely "gets by".

2. The standard must be attainable for the competent employee to reach it. Individuals will not keep trying to reach a goal that is beyond their grasp. Every employee must experience success if continued effort is expected. If the standard is not attainable, it constitutes only a general goal, not a yardstick. It should also be able to be exceeded, because there should always be room for the outstanding employee to perform better than the standard requires.

3. Setting the performance requirement at the level attained by the employee now assigned to the position assumes that this employee is meeting all the requirements of that position in an adequate manner. If the position is now filled by a person of unusually high abilities, it penalizes the average employee by making their performance only adequate. Future employees with lesser qualifications are penalized by making their performance inadequate. If the employee's performance is actually inadequate, but is accepted as the standard, the rater again is not making an equitable judgment.

4. The determinations of the level of performance at which the standard should be set is difficult. The most reliable method is to average several employees' performance together, eliminating those who are obviously below or above average of the group.

H. STANDARDS FOR SUPERVISORY POSITIONS

1. Although performance requirements for supervisors are based on the same elements of quality, quantity, timeliness, and manner, they are frequently not so easily adapted to supervisory tasks.

2. Quality of work, applied to individuals with supervisory functions, must measure less tangible factors such as knowledge and use of management principles, quality of production, turnover of work force, morale and ability to plan and direct the work of others.

3. Quantity and timeliness should measure rates of production, economical use of time, and meeting deadlines.

4. Performance requirements for supervisors/raters, in the elements related to manner of doing, should measure methods employed, cooperation, coordination and similar factors usually associated with supervisory or lead duties.

VII. DEFINITION OF PERFORMANCE LEVELS

In general, employees who meet the training and experience requirements for their jobs should be able to perform job assignments in a satisfactory manner after receiving sufficient training. Employees should not be held responsible for duties which have not been specifically assigned and explained or for which training has not been provided.

In cases of apparent unsatisfactory or conditional performance, the rater should look to the cause. In some cases, the cause may be with the rater, organizational structure, training procedures, standards or other factors over which the employee has no control. The rater should attempt to identify and correct the cause of unsatisfactory or conditional performance by an employee.

A. UNSATISFACTORY

Performance clearly and consistently fails to meet work requirements and standards.

This rating indicates inadequate and unacceptable performance. The employee shows either unwillingness or an inability to improve. It characterizes an employee whose performance is well below average and unsatisfactory and requires immediate corrective action, discipline or dismissal.

B. SATISFACTORY

Performance is adequate and regularly meets work standards of this position. It characterizes an average employee.

C. ABOVE SATISFACTORY STANDARD

Performance regularly meets and frequently exceeds the work requirements and standards.

This rating is higher than the level of "Satisfactory" since the employee usually exceeds the acceptable and satisfactory level of performance.

D. OUTSTANDING

Performance consistently achieves and exceeds all standards/objectives. The employee seeks out opportunities for better ways to achieve standards/objectives.

VIII. GUIDELINE FOR PERFORMANCE COUNSELING

This list of requirements should be used in planning, interviewing and counseling sessions. The use of the appropriate items on this list and specific examples or work accomplished during the period will aide in assuring that the individual is adequately counseled.

A. GENERAL

Typical performance of duty.
Performance deserving special note
Minor deficiencies.
Serious deficiencies.
Plans for training and education.
Future assignments.

B. PROFICIENCY

Possessing fundamental training.
Improving effectiveness.
Keeping well-informed in field of work.
Applying training and information.
Showing ingenuity in assigned tasks.
Handling related assignments.

C. SUPERVISION PERSONNEL

Matching personnel and jobs.
Delegating authority.
Giving instructions.
Insuring understanding
Giving reasons and explanations.
Supporting authorized actions.
Encouraging ideas.
Developing teamwork.
Setting a good example.
Assisting subordinates.
Evaluating subordinate performance.

D. PLANNING AND DIRECTING

Economical (cost conservation).
Solving problems.
Making use of experience.
Long-range planning.
Taking prompt action.
Suspending judgment.
Making correct decisions.
Retaining facts.

E. ORGANIZATIONAL RESPONSIBILITY

Complying with orders and directions.
Accepting organizational procedures.
Subordinating personal interests.
Cooperating with associates.
Showing loyalty to the organization.
Taking responsibility for subordinates.

F. PERSONAL RESPONSIBILITY

Attending to duty.
Attending to details.
Reporting for appointments
Being fair and understanding.
Maintaining personal appearance.
Adapting to the job.
Participating in community activities (if applicable).

G. HANDLING ADMINISTRATIVE DETAILS

Understanding instructions.
Scheduling work.
Getting information from records.
Checking accuracy of work.
Writing letters and reports.
Getting cooperation.
Presenting finished work.
Keeping others informed.

IX. MANAGEMENT FACTORS

TASK 1 – SPECIFIC JOB STANDARDS (GOALS AND OBJECTIVES)

Indicate in this section the specific work projects, desired results, and/or performance goals and objectives. (Appendix A – section A & B).

TASK 2 – COMMUNICATIONS

Ability to communicate with other employees and other Agencies requiring a working relationship with the SCTPO and the general public.

Consider employee's accuracy, clarity, and timeliness of written and verbal reports. Also, consider whether the employee keeps superiors, subordinates and associates adequately informed.

TASK 3 – INITIATIVE

Approaching job related workload with minimum supervision, indicating additional required tasks without reminders for scheduled routine duties and ability to suggest or implement improvements to procedures, new ideas, is he/she self-motivated, resourceful, and self-reliant.

TASK 4 – RELIABILITY

Dependability of employee to be on time, not leave work for unspecified or unscheduled periods, not taking excessive sick leave time, properly notifying office of time off due to emergencies and coordinating with office workload in establishing annual leave.

TASK 5 – MANAGEMENT AND DECISION MAKING

Does the employee have the ability to organize and direct staff, comply with prescribed policies and procedures, identify problems, formulate alternatives, and make prompt, logical and sound decisions? Also, does he/she have the creativity of the solutions and thoroughness displayed in arriving at solutions to problems?

TASK 6 – DEPENDABILITY

The ability to accept responsibility and complete work assignments, reliability in meeting deadlines, following instructions and adhering to operating policies and procedures. Conversely, does not accept responsibility, fails to get the job

done, does not meet deadlines, fails to adhere to operating policies and procedures.

TASK 7 – TRAINING AND MOTIVATING

Is someone in the individual rater's department being groomed to take the supervisor's place if he/she leaves? Does the rater know how to motivate his/her subordinates effectively? Does the rater understand the basic elements of motivation? Are employees under his/her supervision well trained? Is training continuous? Does the training follow specific plans setup by the rater? Does the rater include subordinates in critical meetings and decision making sessions?

TASK 8 - SCHEDULING AND COORDINATING

Does the rater plan the work of subordinates to achieve maximum results? Does the rater plan and budget his/her time and that of the unit?

TASK 9 – EVALUATING SUBORDINATES

Does he/she tend to evaluate everyone the same in each performance factor or does the rater recognize that everyone has strong and weak points? Is the rater fair and impartial? Is the rater constructive and definitive in developing plans for the subordinate's improvement?

TASK 10 – LEADERSHIP

Does the rater set the example? Does the rater establish standards and work with subordinates to achieve those goals? Does the rater communicate well with subordinates? Is the leadership style of the rater compatible with those of his/her superior? Do the subordinates of the rater follow the direction set by the rater without reservations?

TASK 11 – DELEGATION OF ASSIGNMENTS AND FOLLOW-THROUGH

Does the rater know how to delegate effectively? Is the rater reluctant to delegate to others? Does the rater over delegate? Does the rater follow through on assignments or projects delegated?

TASK 12- PUBLIC RELATIONS

Does the rater represent the agency with the public effectively? Does the rater exercise the initiate to promote good public relations? Has the rater established goals and objectives for promoting good relations with the public? Can and does the rater communicate effectively with the public? Does the rater have an established public relations program for his/her department?

TASK 13 – TIMELY COMPLETION OF ASSIGNMENT

Does the rater manage his/her time effectively? Does the rater complete assignments on time? Does the rater have to be reminded to complete work on time? Is the rater organized in performing his work assignments? Does the rater wait until the last minute to complete his/ her work?

TASK 14 – QUALITY OF WORK

Is the work complete, accurate, well organized, understandable and suitable? Does the rater's work adhere to standards and/or objectives?

TASK 15 – PLANNING

Consider employee's effectiveness in setting objectives, forecasting conditions, setting timetables and determining action required to accomplish objectives.

TASK 16 – WORKING WITH OTHERS

Consider employee's ability to work harmoniously with associates in the attainment of objectives and the confidence and respect accorded by subordinates.

TASK 17 – VERSATILITY

Consider employee's willingness and ability to accept and adapt to changes in responsibilities or work environment. Also, consider willingness to acquire and retain new knowledge.

X NON-MANAGEMENT EVALUATION

Job performance factors are other criteria by which the employee's performance is measured. They are the job related qualities to be demonstrated by an employee in carrying out the responsibilities of his/her position. These factors which include work habits and human relations are defined below. Some categories may not be applicable to a particular position and in such cases need not be used. Additional factors may be added where needed.

TASK 1 – SPECIFIC JOB STANDARDS (GOALS AND OBJECTIVES)

Indicate in this section the specific work projects, desired results, and/or performance goals and objectives. (Appendix A – section A & B).

TASK 2 – DEPENDABILITY

The ability to accept responsibility and complete work assignments, reliability in meeting deadlines, following instructions and adhering to operating policies and procedures. Conversely, does not accept responsibility, fails to get the job done, does not meet deadlines, fails to adhere to operating policies and procedures.

TASK 3 – ATTENDANCE

Consider the overall attendance record of the employee. Consideration should be given to repeated use of sick leave and failure to give adequate notice when taking leave. The national norm for sick leave taken by all employees is four days.

TASK 4 – PUNCTUALITY

Determine whether the employee reports to work on time; and attends scheduled meetings and other appointments on time. An employee who is late for work or appointments should be rated unsatisfactory. Those that are not should be rated as satisfactory.

TASK 5 – SAFETY

Consider whether the employee is knowledgeable and follows all safety requirements pertaining to his/her work assignments on a consistent basis. Occasional lapses should not be tolerated. (ZERO TOLERANCE)

TASK 6 – USE OF TIME AND MATERIALS

Consider the extent to which the employee is well organized and uses time efficiently; sets proper priorities for timely completion of work; sets and meets realistic target dates.

TASK 7 – ACCEPTS JOB INSTRUCTIONS

Does employee require repeated instructions in the same procedure? Does the employee ask for and follow instructions when needed or pushes ahead on a project without instructions sometimes causing problems for his supervisor? Consideration should be given to the time the employee has been in a particular job as probationary. A new employee may require more detailed instruction than the long term employee.

TASK 8 – TEAMWORK

Ability to deal effectively with fellow employees. Is the employee compatible with fellow employees? Does he/she create or indulge in disputes or arguments with fellow employees? Is there an atmosphere of understanding and cooperation between the employee and their peers?

TASK 9 – MEETING AND INTERACTING WITH THE PUBLIC

Ability to deal with customers, the public and members of the community. Degree of effectiveness if part of the normal job duties.

TASK 10 – INITIATIVE

Willingness to accept and the ability to carry out responsibilities, and the adaptability of the employee to the work assignments. Does the employee attempt to solve problems, suggest improvements, and request additional assignments when normal work load has been completed? Does the employee engage in training courses and encourage others toward productive use of time? Conversely, do you have to push the employee? Does he/she start assignments freely and quickly? Does he/she do things on his/her own?

TASK 11 – OBSERVANCE OF ESTABLISHED RULES AND REGULATIONS

Employee's observance and application of established rules and regulations? Does he/she observe safety rules and guidelines or interpret them to suit themselves? Must employee be constantly reminded of policies?

Ratings:
Consistently follows established rules and regulations. (Satisfactory)
Does not always follow established rules and regulations. (Unsatisfactory)

This is another all or nothing requirement.

TASK 12 – ABILITY TO MAKE LOGICAL DECISIONS

Deals with how well the employee solves day-to-day problems. Does he/she act independently and use good judgment in solving problems? Does the employee rely on the Supervisor for guidance in most situations, or only in unusual situations?

TASK 13 – ACCEPTS RESPONSIBILITY

Does the employee accept and seek out additional responsibility? Does employee complain each time additional responsibilities are assigned by the Supervisor? Does the employee accept responsibility for his/her own actions or blame others?

TASK 14 – APPEARANCE

Does the employee follow the SCTPO's dress code? Is the employee properly dressed? Does the employee's personal appearance and cleanliness meet the standards set by SCTPO?

XI. INSTRUCTIONS FOR COMPLETING FORMS

A. All major sub-elements of a position will be identified, all specific tasks/duties noted and all performance standards set for the position, using the Performance Evaluation Standards form as a worksheet.

B. Each employee will be given a numerical evaluation (grade) to show the Level of performance during this period on all applicable performance factors. Non-Applicable items will be marked **N/A** (Not Applicable).

PERFORMANCE LEVELS:

A - 9 to 10	- Outstanding
B - 6 to 8	- Above Satisfactory
C - 3 to 5	- Satisfactory
D - 0 to 2	- Unsatisfactory

C. Numerical grades given will have some bearing on the future Performance Salary increase of employees.

D. Rate the factors within each category that best represents the rater's evaluation of the employee's performance during the reporting period. In the space provided, enter the numeric value of the factor.

E. The overall evaluation is then calculated by dividing the number of factors used by the total score of all ratings.

F. Performance Evaluation Report. The rater summarizes the performance of the employee by rating the indicators as met or not met for each standard. Space is also provided to comment on the rating. Comments are required when a standard has not been met. Space for summary comments and the signature of the rater are provided at the end of the form. Space is also provided for the employee to comment and sign denoting that he or she has received a copy of the report.

The employee will receive a copy of the Evaluation Report, the rater retains a copy of the form, and a copy is filed in the employees personnel file.

G. Professional Development. The rater develops the employee's improvement objectives, specific activities planned to meet these objectives, anticipates completion date to accomplish these objectives, and the actual date of completion. These development objectives could represent employee deficiencies and/or higher level objectives and individual employees need to advance to another level of achievement.