

LOUISIANA'S PERFORMANCE PLANNING AND REVIEW SYSTEM

- I. What are we going to do today?
- II. Who we are
- III. Who you are
- IV. Why you are here
- V. How Louisiana's system works
- VI. Getting the word out
- VII. What we did right
- VIII. What's next?
- IX. What have we solved?

What Are We Going To Do Today?

- ◆ Who Are We?
- ◆ Who Are You ?
- ◆ Why Are You Here?
- ◆ Problems With Performance Appraisal
- ◆ Louisiana's Performance Planning and Review System
- ◆ Training Techniques
- ◆ How We Did It
- ◆ What We Did Right
- ◆ Where Are We Now?
- ◆ What Next?

TOP FIVE PHRASES TO AVOID ON PERFORMANCE REVIEWS

5. This employee is out of his depth in a parking lot puddle.
4. His subordinates would follow him anywhere just out of curiosity.
3. This employee will go far - and the sooner the better!
2. Employee has reached rock-bottom and has started digging.

AND THE NUMBER ONE PHRASE TO AVOID ON PERFORMANCE REVIEWS IS:

1. *THIS EMPLOYEE IS DEPRIVING A VILLAGE SOMEWHERE OF AN IDIOT.*

RATING and REVIEW EXERCISES

1. Factor: Work Product

Expectation:

Complete tasks as assigned. Work at a rate that is similar to teammates so team work goes smoothly.

Performance::

Victor is part of the team of you data entry clerks you supervise. He has a hearing impairment and wears hearing aids. He often helps members of the team work out conflicts by listening carefully to each side and suggesting solutions that are fair to everyone. You notice, however, that Victor works much more slowly than the rest of the team. His teammates usually have to do extra work to cover for him when he cannot finish his assignments before the end of his shift.

What rating would you give on this factor?

2. Factor: Dependability

Expectation:

Attend scheduled meetings and arrive for them on time. Complete projects by their deadlines except when factors beyond your control prevent you from doing so. Notify me when you anticipate that you will not meet a deadline.

Performance::

In the past year, Rachel has attended all scheduled meetings and arrived on time or a few minutes early. She finished most of her projects a day or two early. When obstacles came up, she found creative ways to overcome them. On one project, it became impossible to meet her deadlines due to circumstances beyond her control. She explained the situation to you in a memo and suggested another deadline that she was able to meet.

What rating would you give on this factor?

3. Factor: Cooperativeness

Expectation:

Cooperate with your coworkers by sharing your knowledge of computer hardware when they are having difficulties or have questions.

Performance::

Serge` had a background in computer repair before he came to work in your unit as a case worker. When a computer breaks down, Serge` is eager to help fix the problem. However, you have noticed that he will explain how he fixed the problem more thoroughly to his male coworkers than to his female coworkers. When you bring this to his attention, he makes what he calls "jokes" about his female co-workers' lack of mechanical ability.

What rating would you give on this factor?

4. Factor: Adaptability

Expectation:

Look for ways to improve your own job and the jobs of your subordinates. Accept new methods or responsibilities as they come your way.

Performance::

Sally is a supervisor in your department. This year, she broke down the jobs she and each of her subordinates performed into identifiable tasks. She then found several ways to restructure the jobs to make the entire group more efficient, and accepted subordinates' suggestions for improving efficiency. She clearly explained to employees how they would each carry out their job from now on. As a result, her group has improved efficiency by nearly 40%, and her subordinates report being much more satisfied with their jobs.

What rating would you give on this factor?

5. Factor: Communication

Expectation:

Clearly explain to clients how to properly and completely fill out their unemployment claim forms. Make sure clients understand the steps involved in the claim process before they leave your work station.

Performance::

Needra shows the forms to clients and puts an "X" next to items that need to be filled in. She tells them what to do when they finish the form. She speaks loudly enough to be heard and slowly enough to be understood. She asks clients if they have any questions before they leave her work station.

6. Factor: Daily Decision Making/Problem-Solving

Expectation:

Calmly search for solutions when frustrated with the computer, rather than pounding the keyboard and making loud noises. Use "Help Windows" and consult the software manual. When unable to solve the problem yourself, ask coworkers for their suggestions. Try all possible solutions you can think of before you give up.

Performance::

Tom took improving his computer skills as a personal goal this year. He attended all the computer classes available to him that were relevant to his job. He learned to solve computer problems on his own and where to look for helpful information. He stopped getting angry when he felt frustrated. At the beginning of the year, he often asked coworkers for advice, but now he is seen as a helpful resource. One month after a new software program was installed on all the computers used by his group, he passed out a list of answers to frequently asked questions to help others learn how to get the software to do what they wanted.

What rating would you give on this factor?

7. Factor: Service to Clients/Public

Expectation:

Politely greet customers who come to your window. When they ask you to do something for them that is outside the scope of your job, send them to the appropriate person rather than trying to help them yourself.

Performance::

Jackie has improved greatly in the way she speaks to customers and in the help she gives them. She has made a strong effort to learn what was inside and outside the scope of her job, and to whom she should direct customers when she cannot meet their needs. Rarely has she stepped outside the bounds of her job in the past year.

What rating would you give on this factor?

8. Factor: Use of Equipment and Materials

Expectation:

Learn to use Excel, to send and receive e-mail, and to use new software programs as they are installed on your computer. Make an effort to avoid wasting paper from the printer or from the copy machine.

Performance::

Chris learned Excel and the e-mail system. However, he did not take the classes that were offered to learn new software. Last week Chris made 500 copies of a document before he found a grammatical error and threw them all away.

What rating would you give on this factor?

STRATEGIC PLANS AND EXPECTATIONS

Objective 1:

Expand the use of alternative hiring authorities which speed the hiring process and give management more flexibility and discretion

Expectation:

Assist Department of Public Safety in the ACT Work Keys pilot

or

Develop and implement an assessment center for promotions to manager.

Objective 2:

Strengthen validity evidence for exams by completing at least 2 validity studies each year

Expectation:

Complete the clerical validation project

Objective 3:

Implement a program of expanded service to applicants

Expectation:

Implement walk-in testing statewide.

Objective

Improve procedures to identify and eliminate unavailable applicants through inactivation.

Expectation:

Pilot direct agency entry of availability

or

Set certifiable scores by vacancy

EMPLOYEE COUNT

PREVIOUS SERVICE RATING FORM

**QUARTERLY DEPARTMENTAL REPORT
PERFORMANCE PLANNING AND REVIEW**

Dept: _____ Reporting Unit: _____ Org ID: _____

Please check one box below to indicate the reporting period for this report.

3rd report Anniversary dates in April, May and June - due July 31
 4th report Anniversary dates in July, Aug, or Sept. - due October
 5th report Anniversary dates in Oct., Nov., and Dec. - due Jan. 29, 1999
 6th report Anniversary dates in Jan., Feb., and Mar - due April 30, 1999
 7th report Anniversary dates in Apr., May, and June - due July 30, 1999

RATINGS SUMMARY:

Total number of employees with anniversary dates during this reporting period | _____ | If none, enter ZERO and return form by deadline.

Please provide the actual number of **OFFICIAL OVERALL** ratings given in each of these categories:

Outstanding:	_____	Needs Improvement	

Very Good:	_____	Poor	_____
Satisfactory (rated)	_____	Satisfactory by Default	_____

PERFORMANCE MEASURES - THIS REPORTING PERIOD

Please answer these questions to the best of your ability.

- Has there been any change in the distribution of actual ratings given since the last report? | ___ | yes | ___ | no
- If yes, are there more or fewer OUTSTANDING ratings being given? | ___ | more | ___ | fewer
- If yes, are there more or fewer SATISFACTORY RATINGS (not defaults) being given? | ___ | more | ___ | fewer
- If yes, are there more or fewer SATISFACTORY BY DEFAULT ratings being given? | ___ | more | ___ | fewer
- OPTIONAL QUESTION: Has there been any change in the number of general employee grievances (not related to Performance Planning and Review) since the inception of the Performance Planning and Review system? | ___ | yes | ___ | no
- 5a. If yes, has the number of grievances gone up or down? | ___ | up | ___ | down

COMMENTS: Use space on back of this sheet for explanations or comments. We are interested in hearing about benefits or problems you are having with the system.

REQUIRED SIGNATURES - Human Resource Office or Appointing Authority

_____ Name	_____ Title
_____ Signature	(_____) (Area code) Telephone number
_____ Date	

PLEASE FAX OR MAIL THIS FORM TO:

Personnel Management Division, Dept. Of Civil Service
 Attn: Vikki Riggle
 P. O. Box 94111 Capital Station
 Baton Rouge, LA 70804-9111
 phone: (504) 342-8274 fax: (504) 342-6074 e-mail: vriggle@dscs.state.la.us

Departmental Agency Report
INSTRUCTIONS

- DEPT: Is the name of your major agency, i.e.; DHH, DOTD, DOA etc.
AGENCY: Is the name of the REPORTING UNIT as designated by the Appointing Authority.
Org. ID: Is the organizational ID number assigned to the agency OR a list of all organizational ID's grouped together to create the REPORTING UNIT.

OFFICIAL RATING: A rating given during the prescribed time period of no more than 45 days prior to the anniversary date. Ratings given earlier than 45 days before or given after the anniversary date are not official ratings. Employees rated earlier than 45 days or after the anniversary date must receive a rating of Satisfactory by Default ratings.

SATISFACTORY BY DEFAULT: This rating is given to any employee who was not rated within the 45 day period immediately prior to the anniversary date or who were unable to be rated for any reason (such as extended leaves of absence). Please use the space below to explain briefly why no rating(s) were given.

COMMENTS: Use this space to record any comments, suggestions, problems, or explanations.

PPR ANNUAL REPORT

Dept: _____ Reporting Unit: _____

This report covers all classified employees with anniversary dates that occur between January 1, 1998 and June 30, 1998.

I. EMPLOYEE COUNT:

Please indicate the total number of classified employees on your payroll with anniversary dates in each of the following months. Enter total in boxes below:

JAN	FEB	MAR
APR	MAY	JUNE

GRAND TOTAL (add together all numbers above and enter here) _____

II. RATINGS SUMMARY:

Add together all ratings in each category. Include all ratings given for this reporting period (ratings may have been given as early as November 17, 1997 for employees with anniversary dates in January, 1998)

Please provide the actual number of OFFICIAL OVERALL ratings given in each of these categories:

Outstanding: _____ Needs Improvement _____

Very Good: _____ Poor _____

Satisfactory (rated) _____ Satisfactory by Default* _____

*includes any classified employee who was not rated for any reason.

Optional: staple all periodic Departmental Agency Reports to this cover sheet and omit **this section** of the report only.

III. REQUIRED SIGNATURES

Human Resource Officer

Date

Appointing Authority

Date

PLEASE FAX or MAIL ONE COPY OF THIS FORM BY JULY 31, 1998

Dept. Of Civil Service Personnel Management Division

Attn: Vikki Riggle

P. O. Box 94111 Capital Station

Baton Rouge, LA 70804-9111

PERFORMANCE PLANNING AND REVIEW (PPR) SURVEY QUESTIONNAIRE

INSTRUCTIONS: Please answer every question by placing a check mark or an X in ONE of the columns.

		YES	NO	Does Not Apply
1.	Have you seen the 30-minute video that explains PPR to employees?			
2.	Have you been to a PPR training class held at your agency?			
3.	Have you been to a PPR training class given by Civil Service?			
5.	Do you think you received enough training to understand how the PPR system works?			
6.	Do you think the PPR system gives you a way to better understand your job and what is expected of you?			

		a	b	c	d	e
	Would you like to have more training in using PPR? If yes, what kind of training would be helpful to you? Select as many as you want from items 7 through 11.					
7.	How to have a counseling/coaching session.					
8.	How to talk to difficult people.					
9.	How to write expectations.					
10.	How to select a rating.					
11.	Other (please explain on back of last page)					
	Can you identify the three steps of PPR? Select one answer from items 12 through 14.					
12.	Planning, Documentation, Review/Rating?					
13.	Planning, Review, Rating?					
14.	Rating, Planning, Review?					

		5	4	3	2	1
	Please indicate how strongly you agree or disagree with the following statements by checking one box. The scale ranges from 5 = Very strongly agree to 1 = Very strongly disagree					
15.	The PPR form is clear and easy to understand? If not, please use the back of this form to describe the problem(s) you had using the form.					
16.	PPR has helped me understand my job better.					
17.	PPR has helped me and my supervisor talk to each other more effectively.					
18.	I believe I have a better understanding of what my supervisor expects of me since PPR started.					

		YES	NO	Does Not Apply
	IF YOU HAD A PLANNING SESSION with your supervisor AFTER July 1, 1997, answer questions 19 through 27. If YOU DID NOT HAVE ONE, please skip to question 28.			
19.	I had a planning session during the last six months of 1997.			
20.	I had a planning session with my last rating session.			
21.	I had a planning session within 30 days after my 1998 anniversary date.			
22.	My planning session was held more than 30 days after my 1998 anniversary date.			
23.	Did you have the opportunity to write any of your own expectations?			
24.	Did you have an opportunity to contribute to any of your expectations?			
25.	Did your planning session help you understand your job better?			
26.	Did your planning session help you understand what your supervisor expects you to do?			
27.	Did you receive a copy of your planning session after you and your supervisor signed the form?			

		YES	NO	Does Not Apply
	If you have received a rating at any time after November 1, 1997, complete this section. If you have not, skip to question 45.			
28.	Were comments written on the PPR form for each of the factors on which you were rated?			
29.	Were any of your factors rated as 'POOR' or 'NEEDS IMPROVEMENT?'			
30.	If yes, did your supervisor provide documentation to explain the rating?			
31.	Do you understand what you need to do to receive a higher rating next time?			
32.	Did you receive a copy of your PPR form after the rating & review session?			
33.	Did you have comments written for all of your factors?			
34.	If not, did you have comments for your ratings of Outstanding or Very Good?			
35.	Did you have comments for your ratings of Satisfactory?			
36.	Did you have comments for your ratings of Needs Improvement or Poor?			

When was this rating session held? Pick one answer from the following list:		a	b	c	d
37.	a. in the 45-day period prior to your anniversary date				
38.	b. more than 45 days before your last anniversary date				
39.	c. on your anniversary date				
40.	d. after your anniversary date				

USE THESE RATINGS CATEGORIES TO ANSWER THE NEXT FOUR QUESTIONS: 1 = poor 2 = needs improvement 3 = satisfactory 4 = very good 5 = outstanding		1 or 2	3	4 or 5	other (please explain)
41.	What was your LAST overall rating?				
42.	What was your LAST rating for Dependability?				
43.	If you are a supervisor, what was your rating for Performance Planning and Review?				

44.	NONE	1 TO 5	6 TO 12	13 OR MORE
Approximately how many days did you use for personal illness (sick leave) in each of the following years?				
1996				
1997				
1998				

45. THIS SECTION IS OPTIONAL BUT WE WOULD APPRECIATE IT IF YOU PROVIDE US WITH THE FOLLOWING INFORMATION

THIS INFORMATION AND THIS SURVEY ARE STRICTLY CONFIDENTIAL AND ANONYMOUS

Your anniversary date: _____ month _____ day **How long you have worked for the state?** _____ years _____ months

Your age: 18 - 29
 30 - 49
 50 or more

Your race: African/American
 Caucasian
 Hispanic
 Other _____

Your GS Level GS 01 to GS 08 MS 51 to MS 60
 GS 09 to GS 16 MS 61 to MS 70
 GS 17 to GS 24 MS 71 to MS 79
 GS 25 and above

Your sex: male
 female

ON SITE TECHNICAL ASSISTANCE VISIT

Date:

Dept:

CHECKLIST

	BASICS	yes	no	comments
1.	Number of employees in department:			
2.	Sample size			
3.	Completed forms on file?			
4.	Confidential files?			
5.	Frequency distributions?			
6.	Absenteeism rates going up or down?			
	DOCUMENTATION			
	A. Attached as needed?			
	B. Overkill?			

Rate Quality: 5 = very high and 1 = very low

	PLANNING SESSIONS	yes	no	5	4	3	2	1
1.	A. Tracked?							
2.	B. Signatures?							
3.	C. Timely?			30-60		61-90		90+
4.	D. Quality of expectations							
	REVIEW SESSIONS	yes	no	5	4	3	2	1
5.	A. Tracked							
6.	B. Signatures?							
7.	C. Timely?			30-60		61-90		90+
8.	D. Comments?							
	E. Quality of comments?							

General Questions:

Developing standards for agency?	
Data base set up?	
Tickler system set up?	
Any best practice ideas?	
Any requests for training?	
If yes, what kind and how often?	
Using DSCS guides, tapes, handouts, etc.?	
Major problem(s):	

**SAMPLE POSITION DESCRIPTION
ORGANIZED BY PPR FACTORS**
