

Department of Health & Human Services

DHHS

N E B R A S K A

A Guide to the DHHS Performance Evaluation Process and Forms

**To help the process work smoothly for you
and your staff**

Developed by Human Resources and Development

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Introduction

A Performance Evaluation is a formal record of a supervisor's assessment of the quality of an employee's work. The assessment is based on observations of the work being done and the results achieved.

In most cases the Performance Evaluation cycle is 12 months long. All completed Performance Evaluations are due to the local Human Resources (HR) Manager within the month of the individual employee's service anniversary date. An employee's service anniversary date is available by asking the local HR Manager.

This Guide explains the process used to provide employees with formal feedback about their performance and how to complete the Performance Evaluation form. One form will be used for all supervisory personnel; and one for all non-supervisory personnel.

Some employees report to supervisors, while others report to directors, managers or administrators. To simplify things, we use the term "supervisor" throughout this guide. Whenever you see the word "supervisor," think of the person to whom you report to and is responsible to discuss your performance with you.

Special Note: Transition Period Calendar Year 2011

During calendar year 2011, Department of Health and Human Services will transition from all prior Performance Evaluation forms to the one described in this document. During the Performance Evaluation meetings that occur in calendar year 2011, the Values and Core Competencies found in Sections I & II will be discussed to familiarize the employee with the performance expectations. This discussion establishes the understanding needed to meet the Section I & II expectations moving forward. Sections I & II completed in calendar year 2011 for permanent employees will not be scored.

Section III – Essential Job Duties in calendar year 2011, is the only section that will be scored.

Please contact your HR representative if you have questions regarding this transition period. dhhs.humanresourcesanddevelopment@nebraska.gov

Why Performance Evaluations?

The Performance Evaluation process is used to support the mission by evaluating all staff to promote excellence, employee development, enhanced productivity, and to provide a permanent record of the job performed. Performance evaluations:

- help to transform the culture with a focus on shared values and core competencies.
- set the foundation for outstanding customer service.
- serve to promote accountability.
- serve as a means to share the specific expectations that will assure success for each individual, and
- help identify strengths and areas for development.

The Performance Evaluation Process

The process encompasses:

- clear expectations of shared **values** and **core competencies** (reflecting the code of conduct).
- clear expectations of the **essential job duties** (providing confidence we know what to do and how to do it).
- an **appraisal of performance**—on job duties and whether they are performed or demonstrated with excellence (we get what we measure), and
- a **conversation on development and growth** for the individual employee and support available from the supervisor (success as a supervisor depends on employees' success).

Timing for Evaluations:

In any given year there is at least one Performance Evaluation completed for each permanent employee.

Supervisors are reminded of the date Performance Evaluations are to be completed by their HR representative at least 30 days prior to the designated date. The supervisor notifies the employee.

A supervisor may ask each employee to provide a self-evaluation prior to the supervisor finishing the rating of the employee. The supervisor is the sole responsible party to do the scoring of the Performance Evaluation.

Special Circumstances to using the Timetable above:

Some areas may have a different timetable that has been approved administratively by their Division Director.

Types of Performance Evaluations:

- **Annual**--- Within the month that is the permanent employee's service anniversary date. (The service anniversary date is not necessarily the date of hire. For some, this date has been adjusted for a leave of absence more than 14 consecutive calendar days, or for any suspensions without pay or for separations of less than 5 years.)
- **End of Probation**— At least 2 weeks before new hire, transfer or promotional probation is over, a Performance Evaluation is completed by the supervisor and shared with the probationary employee. It serves as an effective milestone for probation's end and to acknowledge the change in status of the employee.
- **Special** — Special evaluation can be used at the end of a period of special supervision, such as following a disciplinary period or following the completion of a period where duties outside the normal perimeters of the employee's position were performed.

The Performance Evaluation Form

The Performance Evaluation form provides a structured method of clarifying job duties and rating them based on the degree of successful execution.

The forms for both supervisor and non-supervisor are found electronically on the DHHS intranet site at the following address:

http://dhhswebsiteauthoring/Pages/hur_performanceevaluation.aspx

Supervisors download the form to their personal computer drive. **Be sure to save the form as an .xlsm, not .xls.** The form is then copied and completed on your computer for each employee. **When enabled, the form does all calculations for you (see below).** Double click in blue shaded areas to activate cursor. Enter information in the blue shaded areas only. Be sure to save each evaluation form **in a confidential area** on your computer.

Technical Assistance:

The form is an Excel spreadsheet. In order to have the functions operate properly you will need to **enable the macros each time** you open the form to work with it. To enable the macros you need to look for the security warning banner located just above the top of the form.

It will say: **Security Warning – “Some active content has been disabled”**. Click on the **“Options”** box and select **“Enable this content”** and click **“OK”**.

It is CRITICAL that users **do not delete or add lines or columns to the spreadsheet**. Adding or deleting will cause the automatic calculations to fail.

Other Resources on the same intranet site:

On the http://dhhswebsiteauthoring/Pages/hur_performanceevaluation.aspx webpage, you can find other reference material that may be helpful.

4 Key Parts of the Performance Evaluation Form

Section I - DHHS Values

This part of the form details **5 Values** that each employee must demonstrate as they perform their job. These Values are instrumental in achieving the mission of DHHS, *helping people live better lives*.

Each Value receives a yes or no rating. “Yes” signifies that the employee consistently demonstrates the Value and a “No” signifies that this Value is not consistently demonstrated. The Value, or Values, that are not consistently demonstrated by the employee are listed in the Section I comment area. A development plan may be included for each Value that receives a No score.

Consistently is defined as demonstrating a Value 80% or more of the time.

This section of the evaluation represents **one third** of the overall score. If No is marked for any Value, that Value scores 0 points.

Supervisors must add specific comments and reference specific examples in the Section I comment area when scoring a No.

Section II - Core Competencies

The next section of the form details **6 Core Competencies (8 for supervisors)** that every person in the DHHS is responsible for demonstrating as they work and interact with co-workers, customers and clients.

Specific descriptors for each of the core competencies are provided in order to make it clear what is expected. All employees are to demonstrate **all** of the specific descriptors that are described at least sometimes for an acceptable level of frequency. The supervisor form has 2 additional core competencies for their role as a supervisor.

Supervisors **must** add specific comments and reference specific examples in the Section II comment area when scoring a 1 or 2. Comments **may** be provided for any higher score as a way to provide recognition.

Each of the core competencies receives a score 1 to 5. The scoring is based on the frequency of demonstrating that core competency and can range from a high of always (5) to a low of never (1). This section of the Performance Evaluation represents **one third** of the overall score.

Section III - Performance of Essential Duties

Section III is designed to include **up to 6** (maximum) of the **Essential Duties** of a job. These job duties should be reflected in the job description and the training received.

The essential duties are those critically important job tasks that must be done or there would be no reason for the job to exist. Discussing the essential job duties communicates priorities and changes.

Section III receives a score for the successful execution of all noted essential job duties. The formula adapts when there are less than 6 job duties so there is no penalty when an employee has less than 6 essential job duties.

Each essential job duty receives a score of 1 to 5 based on the degree of successful execution on a 5-point scale. An essential job duty that receives a rating of 1 or 2 requires comment. This section of the Performance Evaluation represents **one third** of the overall score.

Section IV - Overall Performance and Confirmation of Completed Performance Evaluation

The overall rating is the tabulated rating of Sections I - III. It is computed through the formula within the body of the form. Here the supervisor can also add comments pertinent to the evaluation and any other information that could be helpful to the employee.

Consider the overall performance of the employee in relation to their efforts in accordance with the mission of DHHS. Comments are not required but can be helpful to accommodate discussions on how the employee can improve and be successful.

The **supervisor and employee signs and dates** the evaluation form to document that the content of the Performance Evaluation was discussed. A signature by the employee does not mean agreement with the ratings or the supervisor's comments. Employees may attach comments within 30 calendar days if they desire. Comments may also be added by the supervisor on the day of the Performance Evaluation concerning the evaluation meeting and/or the evaluation process as a whole.

Employee Development Plan: This form may be used as an added attachment to the completed Performance Evaluation form. It provides direction to the employee as to how they can improve in an identified Value, Core Competency, or Essential Job Duty. This form may also be completed after the evaluation meeting to provide more time and research on activities that will strengthen the employee's weaknesses and/or build on their strengths.

A copy of the Employee Development Plan is found on the DHHS intranet at:
http://dhhswebsiteauthoring/Pages/hur_performanceevaluation.aspx

The **original completed, dated, and signed** Performance Evaluation form, and Employee Development Plan, if completed, is **given to the HR Manager** for retention in the employee's personnel file. Supervisors give a copy to the employee.