



EMPLOYEE EVALUATION AND DEVELOPMENT PLAN

Employee name:		Program:	
Social security number:		Process:	
Class title:		Section:	
Position number:		Location:	

Performance planning period covered	From:	To:
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Employee Evaluation and Development Process: The Department of Revenue's employee evaluation and development process places emphasis on the role of the employee and supervisor to ensure an effective and meaningful evaluation process. Department expectations of employee performance are anchored in the agency's mission and values. The evaluation process provides the supervisor the opportunity to measure actual performance of the employee against work expectations. The supervisor uses a five-level rating scale to indicate how the employee's performance compares to expectations. This process promotes opportunities for professional growth and development, emphasizing employees' roles in their professional development and supervisors' responsibility to help employees achieve their career goals.

PERFORMANCE RATING SCALE

The rating process is based on a multi-dimensional scale that allows you to evaluate performance based on quality, frequency, and the level to which expectations were met.

For example, when giving a rating of 3:

- Good refers to "**quality**"
- Usually refers to "**frequency**"
- Achieves expectations refers to "**performance**"

5 – This employee performs this activity at a level that is excellent. He or she almost always exhibits this quality. His or her performance far exceeds expectations.

4 – This employee performs this activity at a level that is very good. He or she exhibits this quality often. His or her performance often exceeds expectations.

3 – This employee performs this activity at a level that is good. He or she usually exhibits this quality. His or her performance consistently achieves expectations.

2 – This employee performs this activity at a level that is poor. He or she seldom exhibits this quality. His or her performance sometimes meets expectations but clearly needs improvement.

1 – This employee performs this activity at a level that is very poor. He or she almost never exhibits this quality. His or her performance is consistently below expectations. There is a need for significant improvement in this area.

N – No longer applicable or unable to determine level of rating.

PERFORMANCE EXPECTATIONS

Employee name:	Social security number:
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Performance expectations for employees and business process managers are provided as Attachments A and B. All DOR employees will be evaluated using Attachment A. Attachment B will be used as appropriate based upon the position of the employee. The supervisor and employee will discuss and agree upon the appropriate work expectations at the beginning of the evaluation period. The attachments will become an integral part of the evaluation and Individual Development Plan. At the conclusion of the evaluation period, the supervisor will assess the employee's performance and complete this plan. Attachments A, B, and C should be used as follows:

Complete Attachment A for all Department of Revenue employees.

Complete Attachment B for all business process managers.

Attachment C is the Individual Development Plan and will be completed with the employee by the supervisor.

INITIATION OF PERFORMANCE EXPECTATIONS AND DEVELOPMENT PLAN

This is to acknowledge that my supervisor and I have discussed:

- Department of Revenue vision, mission, and strategic initiatives.
- My official position description, the DOR performance expectations, my individual performance expectations, the performance rating scale, and my Individual Development Plan.
- The confidentiality procedures and penalties for disclosure of confidential tax/child support information have been reviewed and discussed with me during performance planning. I understand the provisions of Department Policy Directive #0101-10, *Confidential Information and Procedures* and Internal Revenue Code Sections 6103(a), Confidentiality and Disclosure of Returns and Return Information; 7213, Unauthorized Disclosure of Information; 7213A, Returns and Return Information; and 7431, Civil Damages for Unauthorized Disclosure of Returns and Return Information.

Employee's signature: _____ Date: _____

Supervisor's signature: _____ Date: _____

****Supervisor please note:** **1)** Provide a copy of this page, along with copies of the appropriate attachments (see descriptions of A,B, and C above) to the employee, and retain the original pages in your working file on the employee until completion of the rating period. **2)** Please send original pages 1, 2, and 3, along with the appropriate attachments (A and/or B, but not C), to the Human Resource Services Process (HRSP) upon completion of the annual or closeout evaluation. **3)** For probationary midpoint evaluations, send only original page 3 to HRSP.

EMPLOYEE'S ANNUAL EVALUATION BY THE SUPERVISOR

Employee name:		Social security number:	
Performance period covered	From:	To:	
Evaluation type -- check one below:			
<input type="checkbox"/>	Probationary midpoint	<input type="checkbox"/>	Probationary to permanent
<input type="checkbox"/>	Annual	<input type="checkbox"/>	Closeout

Adding the score from each performance expectation and dividing the sum by the number of expectations assessed will provide the employee's annual performance rating. Calculate as follows:

Employee: Total of all scores on Attachment A ____ divided by number of expectations scored ____ = ____ (Annual performance rating).

Business process manager: Total of all scores on Attachment B ____ divided by number of expectations scored ____ = ____ (Annual performance rating as business process manager).

Overall: Total of all scores (sum of attachments used) ____ divided by total number of expectations scored (sum of attachments used) ____ = ____ (Overall annual performance rating, if employee is also a business process manager).

The scores will be rounded to the nearest tenth of a decimal. Round up if decimal is .05 or higher.

Supervisor's name: _____ **Position number:** _____
(Please type)

Supervisor's signature: _____ **Date:** _____

Reviewer's name: _____
(Please type)

Reviewer's signature: _____ **Date:** _____

Reviewer's comments

Employee: I have reviewed this appraisal and discussed the contents with my supervisor. My signature indicates that I have been advised of my performance status and does not necessarily imply that I agree with the contents of this evaluation.

Employee's signature: _____ **Date:** _____

Employee's comments

EMPLOYEE PERFORMANCE EXPECTATIONS AND EVALUATION

Employee name:	Social security number:
<p>Employee – An employee is any person who works for DOR. An employee is a performer who meets job requirements and expectations, and is a communicator who creates and shares information for the good of the agency.</p>	
Rating	1-5, N
1. Employee Conduct: Modeling the DOR values	
1a. Character Values	
1. Integrity <i>Adheres to accepted principles of ethical conduct</i>	
2. Honesty <i>Is truthful, sincere, and straightforward</i>	
3. Trust <i>Is reliable in character, ability, and truth; is trusting, dependable, and elicits the confidence of others</i>	
4. Fairness <i>Is impartial and equitable; does not intimidate, retaliate, or harass</i>	
5. Respect <i>Is regarded, and regards others, with honor and esteem; is considerate and appreciative of others</i>	
6. Concern for others <i>Is caring and thoughtful with regard to the needs of others</i>	
1b. Performance Values	
1. Commitment <i>Demonstrates dedication to work and people; supports the vision, mission, and values of the agency</i>	
2. Teamwork <i>Willingly participates in, and contributes to, cooperative efforts to improve the products and services of the agency</i>	
3. Excellence <i>Exhibits the highest quality and superior performance</i>	
4. Knowledge <i>Demonstrates understanding and skill gained through experience and study</i>	
5. Communication <i>Expresses and exchanges information freely, timely, and clearly; listens; provides feedback</i>	
6. Innovation <i>Introduces new ideas, methods or processes; is willing to depart from established methods to improve products and services</i>	
7. Service <i>Demonstrates desire to serve the public; contributes to the welfare of others and supports the community</i>	
2. Strategic Planning: Planning for successful performance <i>Deploys the plan by performing the work targeted for own business processes.</i>	
3. Customer Satisfaction: Understanding and meeting customer expectations <i>Goes the extra step to address customers' issues in a positive manner. Seeks out and listens to customers' concerns and ideas.</i>	
4. Employee Performance: Doing the job to the best of your ability	
4a. Appropriately applies law, rules, policies, procedures <i>Work products indicate thorough knowledge and application of law, rules, policies, procedures.</i>	
4b. Delivers work products timely and accurately <i>Work products are delivered in a timely manner, according to predetermined timelines. Work products are accurate.</i>	
4c. Listens and Learns <i>Knows when to seek direction; follows direction.</i>	
4d. Seeks to improve <i>Seeks and acts on opportunities for improvement.</i>	
4e. Supervisor-added critical job task, expectation, and standard	
4f. Supervisor-added critical job task, expectation, and standard	

Employee name:	Social security number:
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4g. Supervisor-added critical job task, expectation, and standard	
4h. Supervisor-added critical job task, expectation, and standard	
4i. Supervisor-added critical job task, expectation, and standard	
5. Process Knowledge: Understanding how to work in your business processes <i>Has a general knowledge of own business processes. Understands desired inputs, outputs, and outcomes in own business processes. Understands flow of product/service delivery. Understands how own business processes relate to other business processes and the strategic plan. Knows customers, suppliers, and partners and understands their requirements. Knows how own performance impacts the success of own business processes.</i>	
6. Process Performance: Contributing to the success of your business processes	
6a. Working successfully in business processes <i>Works independently and in teams to achieve the performance standards expected of own business processes. Listens for customer feedback on business process performance. Shares information with colleagues, supervisors, other processes, partners, and suppliers. Generally promotes the culture of continual improvement.</i>	
6b. Uses a problem solving/improvement methodology <i>Acts to improve own business processes based on customer feedback. Helps identify and select problems. Helps identify root causes and considers solutions for implementation. Helps identify best practices, tests them and shows results. Helps process owners and managers implement and track business process improvements.</i>	
Comments: <i>Provide comments in support of your overall rating that will help the employee understand his or her strengths and opportunities for improvement. In your summary comments, discuss any 4 or 5 scores. Also provide specific comments for each score of a 1 or 2 (list the expectation number and letter). Providing specific comments on scores of 1, 2, 4, and 5 helps your employee know how he or she can improve and what he or she should continue doing well.</i>	

BUSINESS PROCESS MANAGER PERFORMANCE EXPECTATIONS AND EVALUATION

Employee name:	Social security number:
Business Process Manager – A business process manager is any supervisor in DOR, focused on equipping, developing, and ensuring employee performance and conduct in a productive and customer-oriented workplace; is a leader who models DOR values and steers employees toward performance excellence; is a communicator who creates and shares information for the good of the agency.	Rating 1-5, N
1. Leadership: Inspiring a shared vision for excellence in public service <i>Communicates and models DOR values. Establishes and communicates performance standards for employees. Creates an environment for innovation, learning, and success. Removes barriers. Ensures adequate staffing and resources.</i>	
2. Strategic Planning: Planning for successful performance <i>In partnership with business process owners, updates the strategic plan. Actively seeks employee input on strategic planning. Encourages and provides communication and feedback on agency strategic plan. Understands the agency strategic planning process. Plans work in accordance with priorities identified in the strategic plan.</i>	
3. Customer and Product Focus: Identifying and meeting customer expectations <i>Manages delivery of services to customers. Creates a customer-friendly business climate. Collects customer feedback and works with business process owners to analyze and evaluate the feedback on business process performance. With business process owners, identifies customer groups and uses systematic means to gather data on requirements. Works to improve customer satisfaction based on feedback.</i>	
4. Measurement & Analysis: Measuring and analyzing operational performance <i>Completes regular analysis of performance results. Communicates performance results to all team members. Uses performance measures to track and evaluate business process and work unit performance. Understands, in detail, desired inputs, outputs, outcomes, and performance measures. Identifies and evaluates resources necessary for business process success. Compares operational results with agency strategic direction.</i>	
5. Human Resource Focus: Developing successful and satisfied employees	
5a. Mentors <i>Helps employees grow and learn from performance challenges. Supports employees to be productive and successful. Encourages and provides opportunities for employee career development. Assists with career planning.</i>	
5b. Enables <i>Ensures a safe work environment. In partnership with business process owners, identifies the right people for the right jobs to implement strategic initiatives and ensure business process success. Removes barriers to employee success. Maintains positive, friendly business environment. Inspires a shared vision. Makes employee recruitment and selection a priority. Ensures adequate staffing and resources. Identifies training needs.</i>	
5c. Supervises <i>Listens to and acts on employee concerns and ideas. Demonstrates commitment to employees. Disciplines appropriately and consistently. Adheres to policies, procedures, and rules. Establishes performance standards. Evaluates performance fairly. Models agency values. Ensures fairness. Recognizes and celebrates successes.</i>	
6. Process Management: Managing operations to achieve business results	
6a. Knows process <i>Understands and communicates how own business processes relate to other business processes and the strategic plan. Understands flow of product and service delivery in own business processes. Knows and understands requirements of customers, suppliers, and partners in own business processes.</i>	
6b. Manages process <i>Encourages and shares employees' feedback on business process improvement and performance. Acts on feedback and recommendations. Leads and participates in team meetings. Exercises sound financial management.</i>	
6c. Improves process <i>Communicates to employees their role in successful business performance. Leads within business processes to achieve performance expectations and help employees improve performance gaps. Achieves business results.</i>	

Employee name:	Social security number:	
7. Supervisor performance: Doing the job well		
7a. Supervisor-added critical job task, expectation, and standard		
7b. Supervisor-added critical job task, expectation, and standard		
7c. Supervisor-added critical job task, expectation, and standard		
7d. Supervisor-added critical job task, expectation, and standard		
7e. Supervisor-added critical job task, expectation, and standard		
<p>Comments: <i>Provide comments in support of your overall rating that will help the employee understand his or her strengths and opportunities for improvement. In your summary comments, discuss any 4 or 5 scores. Also provide specific comments for each score of a 1 or 2 (list the expectation number and letter). Providing specific comments on scores of 1, 2, 4, and 5 helps your employee know how he or she can improve and what he or she should continue doing well.</i></p>		

INDIVIDUAL DEVELOPMENT PLAN

The Individual Development Plan is not to be considered a contract between the employee and supervisor, but rather a plan that may be changed as appropriate, at any time during the rating cycle. Work-related training or other training, as identified to meet the employee's professional/career goals, is subject to budget availability.

Special instructions for SES/SMS employees and evaluators: For training or development opportunities resulting from the SES/SMS employee's 360-Degree feedback, list each separately and indicate the 360-Degree survey question number associated with each opportunity.

Employee name: _____		Date: _____	
Supervisor name: _____			
<i>360 Survey Question</i>	<i>Work related training and developmental opportunities</i>	<i>Possible methods</i>	<i>Target dates</i>
<i>Professional goals</i>	<i>Possible methods</i>		<i>Target dates</i>