EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM (EPMS)

Policy

It is the policy of South Carolina State University that every employee be made aware of the responsibilities of his or her job and be given an ongoing, objective, constructive evaluation of his or her performance.

Purpose and Scope

South Carolina State University’s Employee Performance Management System (EPMS) for non-faculty employees shall function as an effective management tool within the University and provide a sound process for the evaluation of the performance and productivity of these employees. The EPMS is to be used for communicating duties, evaluating performance and encouraging improvement. All employees must be evaluated at least annually. The provisions of this policy address the appraisal of both probationary and covered employees (those covered under the State Employee Grievance Procedure Act). Although not mentioned specifically in this policy, employees exempt from coverage under the State Employee Grievance Procedure Act shall be given annual performance appraisals. The purpose of the Employee Performance Management System (EPMS) is as follows:

A. To enhance efficiency and productivity through the planning of job duties on an annual basis by providing employees prior knowledge of the expectations of his or her supervisor.

B. To provide information to employees and supervisors for use in work-related decisions such as recommendations for salary increases, promotions, reassignments, demotions, and terminations.

C. To assist management in assigning work and delegating responsibilities based on a mutual understanding of the classified/unclassified employee’s skills and abilities.

D. To encourage continued growth and development of all employees.

E. To identify training needs.

All EPMS evaluations shall become a permanent part of the employee’s official personnel file.
Definitions

A. Established Review Date – The employee’s review date as established in accordance with State Human Resources Regulations.

B. Universal Review Date – The date prior to which all staff employee’s performance reviews are due. January 1 will be the universal review date for South Carolina State University. (Exceptions: “probationary” employees and “trial” employees.)

C. Short Year Review – Any performance appraisal that evaluates an employee’s performance for a period of time less than twelve months. (Exceptions: “trial” period reviews and “warning notice” reviews.)

D. Short Year Planning Stage – Any EPMS planning stage document covering a period of time less than 12 months. (Exceptions: “trial” period planning stages.)

Training

The University will provide training in the application of the Employee Performance Management System (EPMS) Policy to supervisors and employees.

Levels of Performance

A. There shall be three levels of performance to rate each job function and objective, and to rate overall performance.

1. Exceptional (E)

   Work that is above the criteria of the job function throughout the rating period.

2. Successful (S)

   Work that meets the criteria of the job function.

3. Unsuccessful (U)

   Work that fails to meet the criteria of the job function.

B. Competencies/Performance characteristics shall not be rated by the three levels of performance, but shall be given a rating of pass or fail.

1. Pass  -  Meets requirements (P)

2. Fail - Fails to meet requirements (F)
Procedures

Performance appraisals shall be completed in a fair and objective manner. The appraisal shall measure actual work performance in relation to the performance requirements of the positions to which employees are assigned. Whenever an employee’s job responsibilities change significantly, the appraisal document should be revised to reflect that change. Any action associated with the Employee Performance Management System which may potentially result in the reassignment, demotion or termination of an employee must be approved by the University’s Office of Human Resource Management prior to implementation.

Components of the EPMS

The components of the EPMS are the planning stage, ongoing performance management, and the evaluation stage. South Carolina State University has combined the Position Description and the Employee Performance Management System into one document (PD/EPMS Form).

A. Planning Stage

At the beginning of the rating period the rater and the reviewer shall discuss the employee’s requirements for the coming year prior to the planning stage interview with the employee. The rater and employee should then determine and discuss the job functions, objectives and competencies/performance characteristics on which the employee will be evaluated at the end of the review period, after which they shall complete the planning stage. The planning stage shall be completed no later than four weeks after the beginning of the universal review date or entry into a position.

1. Job Functions

The rater and the employee shall determine the job functions (which include job duties and success criteria) by reviewing the employee’s job functions outlined on the PD/EPMS form. If the job functions are not up-to-date, or if there is no position description, a new PD/EPMS form should be prepared and submitted to the Office of Human Resource Management for approval. The statement outlining the job function should include descriptive information about the performance expectations (success criteria) of the rater. The descriptive statement should specify the expectations of the rater for the employee to meet performance requirements. Each job function shall be rated in the evaluation stage based on the three levels of performance. It shall be mandatory for all raters to be evaluated on the timely completion of performance appraisal on each of their employees.
2. Objectives

An objective should be included when the employee is assigned a special, non-recurring project or assignment that is not included on the employee’s position description. The assignment of objectives to an employee is optional. If an objective is assigned, descriptive information about the performance expectations (success criteria) of the rater should be identified. The descriptive information should specify the expectations of the rater for the employee to be successful. Each objective shall be rated in the evaluation stage based on the three levels of performance.

3. Competencies/Performance Characteristics

The competencies/performance characteristics section shall be used as a communication tool to emphasize those qualities, traits, or individual characteristics that are important to success in performing the job functions and objectives included in the planning document. Each competency/performance characteristic shall be defined in the planning stage and rated as “pass” or “fail” in the evaluation stage. Competencies/performance characteristics shall not be weighted in the determination of the overall performance rating. A listing of suggested competencies/performance characteristics and their definitions are included at the end of this policy.

It shall be mandatory for all managers and supervisors to be rated on the performance characteristic of “promoting equal opportunity.” Promoting equal opportunity includes such areas as:

a) hiring, promotion, or placement.
b) level of personal and organizational commitment to equal opportunity and diversity.
c) progress toward achieving a fully integrated and representative work force.
d) contribution toward minority programs and other social/economic equal opportunity goals.

In those instances where the rater and employee cannot agree upon any items in the planning stage, the supervisor’s decision shall be final.

The completed planning document shall be retained by the department to use in monitoring performance and for recording performance appraisal notes. After the planning stage is completed, the employee and supervisor should communicate periodically to ensure performance expectations are being met. As situations change, it may be necessary to adjust the planning stage. If this occurs, the supervisor and employee should date and initial the change to be reflected later in the final appraisal.
B. Ongoing Performance Management

Throughout the rating period, supervisors and reviewers of the employee’s performance are encouraged to communicate regularly with the employee about his or her performance. An unofficial mid-year review is encouraged to facilitate this communication. A rater may gather feedback to prepare the appraisal document and/or conduct unofficial appraisals more frequently than is required in this policy.

C. Evaluation Stage

Prior to the review date, the appraisal form shall be completed by the employee’s supervisor (the rater) who has direct experience or knowledge of the work being performed. The appraisal shall be reviewed by the next higher level supervisor (the reviewer), unless the rater is the President, prior to the appraisal being discussed with the employee. The reviewer may attach additional comments to the appraisal, and in the attachment may take exception to the rater’s appraisal; however, the reviewer may not change the appraisal completed by the rater.

The final appraisal must bear the signature of the rater, the reviewer and the employee, if possible. The employee’s signature is an acknowledgment that the appraisal has been discussed with the employee. It does not indicate the employee’s agreement with the contents of the appraisal. If any party refuses to sign the appraisal, a notation will be made of this on the performance appraisal. If possible, another supervisory employee should sign as witness to acknowledge that the party refused to sign the appraisal.

Upon request, the employee shall be furnished with a copy of the performance appraisal and copies of all pertinent attachments including the form completed at the time of the planning stage and the final appraisal form.

Types of Appraisals

A. Annual Performance Appraisals

1. The performance of each employee who has met performance requirements during the probationary or trial period shall be appraised prior to January 1, the universal review date. Thereafter appraisals shall be conducted annually prior to January 1, the universal review date. The performance appraisal shall be completed no earlier than 90 days before the review date. The performance appraisal shall reflect the employee’s performance for the full appraisal year. If there is a change of supervisors prior to the end of the review period, the outgoing supervisor should complete an unofficial appraisal for the period of performance observed and leave it for the new supervisor to use when conducting the annual appraisal. If the employee is reassigned, promoted or resigns within 90 days of his or her performance review date, the supervisor should complete an appraisal for the period of performance observed for filing in the permanent personnel file.
2. The performance review date marks the beginning of a new review period. If an employee does not receive a performance appraisal prior to the performance review date, the employee shall receive a “Successful” rating by default. A covered employee may not be issued an overall “Unsuccessful” appraisal at any time during the annual review period without following the “Substandard Performance Process.”

3. An employee on approved leave with or without pay for more than 30 consecutive workdays shall have the performance review date advanced up to 90 days after those first 30 workdays. After the employee returns from leave of more than 30 consecutive workdays, a short year planning stage and review will be completed (if necessary) in order to move the employee back to the universal review date (January 1).

4. A covered employee who transfers from another state agency to South Carolina State University to a position in the same class within six months or less of his or her review date shall have the performance review date advanced six months from the date of the transfer to the University. After the six month review, the employee may require a short year planning stage and a short year review in order to move the employee back to the universal review date (January 1).

Performance appraisals should be submitted to the University’s Office of Human Resource Management at least one week prior to the performance review date.

B. Trial Period Appraisals

1. A covered employee who has been promoted, demoted, reclassified, reassigned, or transferred to a position or experiences an unclassified State title change to a position in which he or she has not held permanent status in the class or unclassified State title shall be appraised prior to the end of a six month trial period in the position. The performance review date marks the beginning of a new review period. If an employee does not receive a performance appraisal prior to the performance review date, the employee will receive a “Successful” rating by default and obtain permanent status in the new class.

2. Once an employee has completed a successful trial period and obtained permanent status in a class, the employee retains permanent status in the class throughout his or her continuous service. The six month trial period may be extended up to 90 calendar days upon written notice to the employee and approval of the University’s Human Resources Director prior to the end of the six month trial period. A copy of the notice should be sent to the University’s Office of Human Resource Management for inclusion in the employee’s official personnel file. When a trial period is extended, the performance review date shall be advanced for the time period such extension is in effect.

3. After satisfactory completion of the trial period, the employee may require a short year planning stage and a short year review in order to move the employee back to the universal review date (January 1).
4. “The Substandard Performance Process” is not required to demote or downwardly reclassify an employee in trial status to the same class or a class in an equal or higher pay band from which promoted if the demotion or reclassification occurs within the trial period. The employee in trial status may not grieve such demotion. The employee in trial status may not be terminated or demoted to a class in a lower pay band than from which promoted for performance reasons without following the “Substandard Performance Process.”

C. Probationary Period Appraisals

1. Each new employee in probationary status shall be rated prior to the completion of a twelve month probationary period. The performance review date marks the beginning of a new review period. If an employee does not receive a performance appraisal prior to the performance review date, the employee will receive a “Successful” rating by default and obtain covered status as a State employee and permanent status in the class. The probationary period may not be extended.

2. After satisfactory completion of the probationary period, the employee may require a short year planning stage and a short year review in order to move the employee back to the universal review date (January 1).

3. If an employee is not performing satisfactorily during the probationary period, the employee shall be terminated before becoming a covered employee. Until an employee has completed the probationary period and has a “Successful” or higher overall rating on his or her evaluation, the employee has no grievance rights under the State Employee Grievance Procedure Act. Therefore, it is not required that the “Substandard Performance Process” be followed to terminate a probationary employee. The “Successful” rating is equivalent to the “Meets Performance Requirements” rating referred to in the State Employee Grievance Procedure Act. The University’s Human Resources Director or designee must be consulted prior to the termination of a probationary employee.

Substandard Performance Process for Covered Employees

The following procedures shall be followed to ensure that covered employees receive adequate notice of substandard performance and the opportunity to improve the substandard performance before receiving an “Unsuccessful” rating and being removed from the position. Supervisors must consult with the Office of Human Resource Management for specific guidance before initiating the substandard performance process and during the warning period conferences with the employee.
A. The rater shall issue a “Warning Notice of Substandard Performance” prior to issuing an “Unsuccessful” rating to a covered employee. If during the performance period an employee is considered “Unsuccessful,” in any essential job function or objective which significantly impacts performance, the rater shall provide the employee with a written “Warning Notice of Substandard Performance,” (Form P-28). The warning notice shall provide for an improvement period of no less than 30 days and no more than 120 days. The warning notice may be issued at any time during the review period. Ordinarily, the warning period may not extend beyond the employee’s performance review date. However, if the warning notice is issued less than 30 days from the employee’s review date, the performance review date shall be advanced up to 90 days.

B. If the warning notice is issued less than 30 days from the employee’s review date causing the review date to be advance and the employee receives a “Successful” or above rating on all essential job functions/objectives which significantly impact performance noted in the warning notice, the employee may require a short year planning stage and a short year review in order to move the employee back to the universal review date.

The requirements of a “Warning Notice of Substandard Performance” are:

1. The notice shall be in writing, addressed to the employee, labeled as a “Warning Notice of Substandard Performance,” and signed by the employee (witnessed, if the employee refuses to sign).
2. The notice shall list the job function(s) and/or objective(s) included on the employee’s planning document that are considered “Unsuccessful,” with an explanation of the deficiencies for each job function and/or objective.
3. The notice shall include the time period for improvement and the consequences if no improvement is noted (i.e., termination, demotion, reassignment).
4. The notice shall include a plan for meetings to discuss employee progress during the warning period.
5. A copy of the notice shall be given to the employee and placed in his or her official personnel file.

C. The rater and employee should participate in drafting a work improvement plan. The work improvement plan should include a list of ways to improve the deficiencies and other appropriate performance related recommendations. In those instances where the supervisor and employee cannot agree upon the content of the work improvement plan, the supervisor’s decision shall be final.

D. During the warning period, the employee and the rater shall have regularly scheduled meetings during which they shall discuss the employee’s progress. The rater is required to document the counseling sessions. A copy of this documentation shall be placed in the employee’s official personnel file and a copy shall be given to the employee upon request.
E. If the employee’s performance is rated “Successful” or above on all essential job functions or objectives, which significantly impact performance noted in the warning notice by the end of the warning period, employment shall continue. If the employee is rated “Unsuccessful,” on any essential job function or objective which significantly impacts performance as noted in the warning notice by the end of the warning period, the employee shall be removed from the position immediately (i.e., terminated, reassigned, demoted).

F. Once a time frame for improving substandard performance has been given, the employee must receive a written appraisal prior to the end of the warning period or the employee will receive a “Successful” rating by default.

G. If an employee has been issued two warning notices within a 365 day period and performance drops to a substandard level on any essential job function or objective, which significantly impacts performance for a third time within a 365 day period, the employee shall be removed from the position upon the third occurrence of such substandard performance by issuing the “Unsuccessful” appraisal. A warning notice is not required on the third occurrence.

The intent of the warning notice is to communicate clearly the problem areas, suggest improvements, and evaluate the employee’s improvement during the time specified.

Method for Determining the Overall Rating

A weighted system is used to reduce subjectivity in the evaluation. Numerical values are assigned to each level of performance. The supervisor and the employee will determine a weight (percentage) for each individual job function and objective. Performance characteristics will not be assigned a weight or numerical score, but will be given a rating of Pass or Fail.

South Carolina State University EPMS rating will be determined by the following weighted methods:

A. Each weight factor is multiplied by the point value that corresponds to the assigned rating for the appropriate job function.

B. The products of all calculations are then totaled.

C. The resulting total is then divided by the total weight factor of 100.

The established point values and ranges corresponding to the levels of performance are as follows:

<table>
<thead>
<tr>
<th>Job Function and/or Objective</th>
<th>Score</th>
<th>Score Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceptional</td>
<td>2</td>
<td>1.50 to 2.00</td>
</tr>
<tr>
<td>Successful</td>
<td>1</td>
<td>1.00 to 1.49</td>
</tr>
<tr>
<td>Unsuccessful</td>
<td>0</td>
<td>Below 1.00</td>
</tr>
</tbody>
</table>
Example

The following example depicts how an overall evaluation rating is derived from the weighted system.

SECTION IV – ESSENTIAL JOB FUNCTIONS

<table>
<thead>
<tr>
<th>Job Functions</th>
<th>Performance Points (0, 1 or 2)</th>
<th>Weighted (%)</th>
<th>Total Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Function # 1</td>
<td>2</td>
<td>30</td>
<td>60</td>
</tr>
<tr>
<td>Job Function # 2</td>
<td>1</td>
<td>20</td>
<td>20</td>
</tr>
<tr>
<td>Job Function # 3</td>
<td>2</td>
<td>25</td>
<td>50</td>
</tr>
<tr>
<td>Job Function # 4</td>
<td>1</td>
<td>10</td>
<td>10</td>
</tr>
</tbody>
</table>

Total Weighted Points: 85

SECTION IV – MARGINAL JOB FUNCTIONS

| Job Function # 1 | 1 | 5 | 5 |

Total Weighted Points: 5

OPTIONAL PERFORMANCE OBJECTIVE

| Objective # 1 | 2 | 10 | 20 |

Total Weighted Points: 10

GRAND TOTAL FOR ALL SECTIONS

\[
\frac{165}{100} = 1.65^* \\
\text{(TOTAL WEIGHTED POINTS)}
\]

*OVERALL RATING: 1.65 (Exceptional)
GENERAL COMPETENCIES/PERFORMANCE CHARACTERISTICS

A. Commitment

Ability and willingness to align behavior with the needs and goals of the organization and provide a visible role model for others. It implies feeling ownership of and accountability for the organization’s activities, services, decisions, successes and failures. Employees with a strong sense of commitment demonstrate an understanding of the link between their own job responsibilities and overall organizational goals and needs, and subsequently perform their job with the broader goals in mind.

1. Commitment to the Organization and Mission of Agency – Aligns actions and activities with the needs and goals of the organization.

2. Commitment to Profession; Keeps Current – Desires and actively seeks continuous learning.

3. Commitment to Serve the Public – Performs duties for the benefit of the people of the State of South Carolina. Avoids taking actions that depart from public duty and violating the public trust.

4. Loyalty and Dedication – Adheres to organizational goals and the tasks at hand.

5. Reliable and Dependable – Responsible and trustworthy in performing job-related tasks.

B. Communication

Ability to provide timely and concise information to others both orally and in writing and to communicate effectively. Employees with strong communication skills ensure that communication occurs among all organizational levels and with all appropriate people and encourage open expression of ideas and opinions. They listen effectively, transmit information accurately and understandably and actively seek constructive feedback.

1. Conflict Management – Manages disagreements by bringing them into the open and attempting to resolve them collaboratively, keeping the best interests of the organization in mind.

2. Customer Orientation – Creates an atmosphere in which timely and high quality information flows smoothly between oneself and customers. Encourages open, honest and constructive expression of ideas and opinions. Demonstrates active listening skills. Uses appropriate body language. Seeks to understand others’ viewpoint.

3. Facilitation – Manages the interaction of people in group settings to achieve a goal.

4. Formal Presentation – Effectively presenting prepared information to a variety of audiences using appropriate delivery tools.
5. **Influential** – Identifies the interests of others. Convinces them of the merits of a particular idea, method, or course of action.

6. **Interpersonal Communication** – Expressing ideas and listening effectively, both verbally and non-verbally, to achieve understanding.

7. **Listening** – Gives full attention to other’s ideas, concerns, questions and issues with interest, empathy and objectivity. Paraphrases and/or asks clarifying questions to ensure understanding of the message.

8. **Negotiation** – Anticipates the interests of others. Deals with objections. Influences others and achieves agreements to benefit the organization as a whole.

9. **Responsiveness, Follow-up** – Assumes responsibility for and delivers on commitments to customers. Initiates contacts to clarify issues or problems in a timely manner. Keeps customers up to date about projects.

10. **Speaking Effectively** – Expresses and presents thoughts and ideas clearly, succinctly, and in an understandable manner individually and in groups. Adjusts language or terminology to the characteristics and needs of the audience. Alters delivery based on verbal and non-verbal messages from the audience. This competency includes any type of verbal communication, such as giving presentations, providing training, giving testimony, speaking in person or by telephone.

11. **Understanding, Sensitivity, Trust Building** – Interacts openly and honestly. Encourages others to express viewpoints. Listens and respects different viewpoints. Addresses misunderstandings directly with others involved. Maintains confidences. Demonstrates awareness of nonverbal as well as verbal communication.

12. **Writing Effectively** – Structures and conveys information clearly and effectively through both formal and informal documents. Uses appropriate rules of grammar. Keeps the audience in mind. Reviews and edits written work constructively. This competency includes any type of written communication, such as letters, reports, studies, presentations, articles, rules, policies, procedures, and manuals.

13. **Written Communication** – Expressing ideas clearly and concisely in documents that have organization, structure, grammar, language and terminology adjusted to the characteristics and needs of the audience.

**C. Initiative and Accountability**

Ability to focus efforts and energy on successfully attaining goals and objectives. This includes the ability to make difficult decisions and persist even when confronted by obstacles or adversity. These employees assume accountability for decisions, actions, and results. They follow issues through to completion. They will point out problems and ask questions others may have overlooked or been reluctant to acknowledge. This may involve questioning status quo assumptions. The ability to understand power relationships in organizations and identify true decision-makers and the individuals who influence them is essential.
1. **Accountable & Responsible** – Can be counted on by internal and external customers to provide timely responses to their needs; carries own weight as a member of a team; is self-directed and takes advantage of opportunities for personal growth, customer service and the attainment of the organization’s goals.

2. **Decision Making** – Independently takes action and responsibility for solving problems. Makes decisions designed to achieve desired outcomes.

3. **Decisiveness** – Makes decisions that reflect professional conviction and accountability in a timely fashion. Makes valid assumptions when information is unclear or lacking.

4. **Initiative** – Identifies and seizes opportunities to improve the organization when change is not expected or required. Self-starting; seeking out and/or willingly accepting assignments, responsibilities and challenges.

5. **Judgment** – Commits to a sensible, logical and valid action after considering alternative actions and their consequences on the resources, constraints, and values of an organization.

### D. Efficiency and Focus

Focuses efforts and energy on successfully attaining clear, concrete, accurate, timely and measurable outcomes of importance to the organization. Persistent even when challenged by obstacles or opposition.

1. **Accuracy and Attention to Detail** – Demonstrates an appropriate level of precision to complete projects successfully or to execute job responsibilities.

2. **Achievement** – A concern for working well or for competing against a standard of excellence.

3. **Perseverance and Concentration** – Persists and stays focused when faced with a series of challenging or uncertain situations.

4. **Prioritizing, Multi-tasking, Balancing Multiple Projects** – Recognizes or establishes the relative importance of multiple issues, tasks, and opportunities to maximize the productivity of the organization.

5. **Results Oriented; Meets Deadlines** – Focus on achieving goals and on bringing projects to closure in a timely manner, despite obstacles.

### E. Independence and Responsibility

Prefers anticipatory action based upon taking calculated risks and making difficult decisions despite ambiguity or adversity.

1. **Accepts Risks** – Challenges the status quo by taking calculated actions to move an issue forward in a certain direction.
2. **Action Oriented** – Exhibits initiative, energy and foresight in evaluating and responding to challenging situations, problems and opportunities.

3. **Personal Accountability and Ownership** – Takes pride in the job. Actively engages in professional self-improvement activities. Accepts individual responsibility for all actions taken.

4. **Self Confidence, Tough Minded** – Believes in one’s own capabilities and convictions, even when faced with resistance. Projects a positive self-image in the workplace.

5. **Self-Starter** – Has motivation and initiative; seeks increased responsibilities.

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**F. Organizational Understanding**

Understands and learns organizational relationships. Recognizes the real decision-makers and the individuals who influence them. Demonstrates a comprehensive awareness of the impact and implications of decisions and actions throughout the organization. Predicts how new events or situations will affect individuals and groups within the organization.

1. **Building Strategic Performance** – Developing, aligning and managing organizational direction, group goals and individual objectives to achieve desired results.


3. **Demonstrates Financial Responsibility** – An understanding of financial principles and impact of decisions; taking steps to contribute to financial goals and targets.

4. **Demonstrating Business Skills** – Demonstrates an understanding of the marketplace, business concepts, industry trends and economic development.

5. **Influence** – Ability to transform thought into productive action and create successful outcomes by sharing knowledge and information within the work unit and across organizational lines. This includes mentoring others, building relationships key to success by establishing trust, credibility and rapport with key players and customers.

6. **Organizational Awareness** – Sets realistic priorities through a comprehensive understanding of the formal and informal structures of the organization. Assesses the implications of business decisions and actions on internal and external stakeholder. Understands the value, objectives and political structure of the organization. Uses these to influence others or outcomes that have an impact on the strategy and objectives of the organization.

7. **Planning, Organizing & Follow-up** – Establishing a clear course of action, involving others as appropriate, managing activities and monitoring results to accomplish a specific goal.
G. Relationship Building

Builds long-term internal and external relationships with people critical to work and project success. Relationships span customers, co-workers, suppliers, legislators, people in other work units, divisions, departments, and the private sector.

1. **Builds Trust and Credibility in Work Relationships** – Honest and forthright in sharing information. Respected as a valid source of information and behaviors are consistent with words.

2. **Interpersonal Effectiveness** – Collaborates with and involves people inside and outside the organization; respectfully deals with customers without exhibiting condescension or superiority; considers diversity of viewpoints to be important and interacts well with diverse people and groups; defuses high-tension situations.

3. **Maintains Relationships** – Builds enduring customer relationships collaboratively. Brings conflicts and disagreements into the open. Makes compromises in order to meet goals or to gain cooperation from others.

4. **Networking** – Knows how internal and external organizations work. Cognizant of different roles and power positions. Uses that awareness of how things work to influence outcomes. Generally knows how to work with people and organizations toward successful outcomes. Identifies and cultivates mutually beneficial associations with key stakeholders to accomplish organizational goals and objectives.

5. **Uses the Organization to Its Best Advantage** – Anticipates and understands organizational relationships and their impact on individuals and groups in the accomplishment of goals.

H. Customer Service

Works to create customer-focused service and solutions. Lets customers know that their success and growth are important.

1. **Customer-Focused** – Actively seeks first-hand information from customers; uses own technical knowledge and consulting skill to go beyond customers’ expressed needs; matches customers’ requirements to existing products and services, and/or designs, develops and customizes additional products and services; maintains own and others’ attention on internal and external customers’ needs; takes personal responsibility for continuously raising the standard of customer service.

2. **Customer Focused Solutions Design** – Develops solutions in a manner that demonstrates an understanding of the customers’ business needs and desire for timely, cost-effective and value-added services.

3. **Persuading/Informal Negotiating** – Using appropriate interpersonal styles and communication methods to gain acceptance of an idea, plan, activity or service from internal and external clients.
I. Leadership

Ensures successful project outcomes. Provides information and training needed to coordinate and get the job done to key persons inside and outside of the organization. Shares project and personal knowledge and experience in a willing and non-possessive manner. Using appropriate interpersonal styles and methods to inspire and guide others toward vision and goal achievement. Takes the initiative to provide assistance to others without a formal role.

1. **Building Trust** – Demonstrating integrity in all decisions, communications and actions; modeling the values of the organization in the conduct of all business activities.

2. **Developing Competency** – Facilitating the ongoing development of individual and organizational competency.

3. **Encouraging Creativity and Innovation** – Cultivating new approaches to accomplish goals and solve problems.

4. **Managing Change** – Demonstrating flexibility and effectiveness with changing environments, tasks, responsibilities and people.

5. **Meeting Facilitation** – Using appropriate interpersonal styles and methods to guide participants toward a meeting’s objectives; modifying behavior according to tasks and individuals present.

6. **Mentoring/Coaching** – Assists others with professional learning and development. Assesses, guides, supports and counsels others for the purpose of helping them refine and acquire new skills.

7. **Political Acumen** – Having and using knowledge of situations, systems and cultures inside and outside an organization to identify potential impacts and to influence decisions.

8. **Resolving Conflict** – Bringing conflict and dissent between others into the open to arrive at constructive solutions while maintaining positive relationships.

9. **Shares Information, Feedback and Knowledge** – Shares job-related facts and data with peers and others. Listens and offers support and advice on job-related problems. Improves the effectiveness of work processes by developing the skills of others.

10. **Promoting Equal Opportunity** – Promoting agency affirmative action and diversity goals in such areas as hiring, promotion, or placement; level of personal and organizational commitment to equal opportunity and diversity; progress toward minority programs and other social/economic equal opportunity goals. *All management/supervisory employees are required to be rated on this competency/performance characteristic.*
J. Managing for Results

1. **Achieving Quality Results** – Pursuing excellence while achieving results within defined parameters. Focuses on outcomes; applies quality principles, practices and tools to provide products and services valued by the customer; seeks to maximize the value to customers of all available resources, including funds, individuals, teams, and information; considers own work in context of results achieved for customers.

2. **Results Driven** – Demonstrates concern for achieving or surpassing results against an internal or external standard of excellence, shows a passion for improving the delivery of services with a commitment to continuous improvement.

K. Personal Effectiveness

Ability to put customers and co-workers at ease through awareness of, and consideration for, the opinions and feelings of other people. The ability to sense how others are feeling and set a positive and stable tone in work relationships. This competency category describes qualities generally associated with personal maturity and an employee’s inclination to consistently adhere to high levels of ethical behavior. This category is related to influence; however, it applies to more personal, one-on-one relationships or contacts, while influence is closely tied to global or organizational effectiveness.

1. **Ethics** – Acts in an honest and trustworthy manner based on personal accountability and a moral conviction to do the right thing. Key characteristics are honesty, integrity and conscientiousness.

2. **Personal Motivation** – Concern for working well or for measuring oneself against a standard of excellence. The standard may be one’s own past performance (striving for improvement), an objective measure (attaining results), the performance of others (staying competitive), tough goals, or even something no one has ever done (striving for innovation).

3. **Self-Knowledge and Personal Awareness** – Identifies own strengths and development needs. Increases job performance and long-term career growth with continual learning.

L. Interpersonal Understanding

Builds strong work relationships. Adjusts to how individuals, organizational units and cultures function and react. Senses how others feel. Fosters rapport with co-workers and customers, without intending to persuade or influence.

1. **Empathy** – Takes actions that indicate consideration for the feelings and needs of others. Aware of the impact of personal behavior on others.

2. **Flexibility and Adaptability** – Accepts change as a healthy and normal part of organizational growth. Responds positively to changes in direction and priorities, responsibilities or assignments. Adapts to and works effectively with a variety of situations, individuals or groups.

3. **Maturity and Emotional Discipline** – Keeps one’s emotions under control and restrain negative behaviors when provoked, when faced with opposition or hostility from others or when working under conditions of stress. Experience in handling a wide variety of situation in a sensible reasonable manner.

4. **Non-Judgmental and Tolerant** – Appreciates differences in people. Approaches problems and issues from different perspectives.


6. **Professionalism** – Maintains focus, effectiveness, emotional control and maturity. Remains positive and composed under stress, change or transition.

7. **Rapport** – Builds partnerships marked by harmony and respect with others in the organization.

8. **Valuing Diversity** – Respecting diversity for the benefit of individual employees, the organization, and the community as a whole. Provides employment and development opportunities to support a diverse workforce.

9. **Willingness to Change** – Adjusts to multiple demands, priorities, ambiguity and rapid change. Re-directs activities.
M. Teamwork

Working effectively in teams such as groups, crews and partnerships to accomplish organizational goals; taking actions that respect the needs and contributions of others.

1. **Builds and Fosters Supportive Relationships** – Motivates team members with diverse goals to collaborate and co-operate to achieve success.

2. **Cooperative** – Participates willingly, supporting team decisions even when different from personal views.

3. **Shares Workload or Pulls Own Weight** – A good team player. Does his or her share of the work. Assists others when necessary.

4. **Team Building** – Achieves results by getting a group focused. Encourages participation. Draws on the talents of all team members. Ensures the team has what it needs to succeed.

5. **Team Orientation** – Promotes and generates cooperation and teamwork while working to achieve collective outcomes.

N. Professional and Managerial Skills

Ability to display initiative in managing yourself and a group in a way that best promotes the image of the organization.

1. **Lifelong Learning** – Continuously acquiring and applying knowledge to enhance performance and growth.

2. **Managing Stress** – Maintaining stable performance under pressure or opposition (such as time pressure or job ambiguity); relieving stress in a manner that is acceptable to the organization and those directly impacted.

3. **Software Proficiency** – Using/applying software appropriate to the job function to ensure a high level of efficiency in accomplishing work.

4. **Technical Expert** – Uses technical skills, knowledge of workforce development issues and programs, and experience with multiple levels of the employment and training delivery system to provide consultative services which enhance program operators’ abilities to problem-solve, develop a vision, and be successful; employs professional techniques and technologies for helping the organization fulfill its broadly-defined mission through his/her own particular responsibilities; demonstrates expertise in the other competencies in this model in ways which are consistent with the organization’s values and the agreed-upon State role.

5. **Technical/Professional Skills & Knowledge** – Keeping abreast of current developments and trends in area of expertise.
O. Analysis and Problem Solving

Ability to think clearly and logically and to identify and solve problems. These employees use reason, vision and creativity to reach conclusions and decisions. It includes the ability to understand cause and effect relationships, to recognize similarities and differences in situations, and to apply knowledge to help make effective decisions, or to come up with new ways to accomplish a task.

1. **Analytical Thinking** – Understands a situation by systematically breaking it into component parts and looking for interdependence; weighs options and proposals critically and thoroughly through the use of a variety of information sources and tools (including systems thinking, data analysis techniques and technological expertise); provides rationale for and results of analysis to others.

2. **Decision Making** – Committing to a timely course of action which considers alternatives, risks and consequences in light of organizational goals, values, resources and constraints.

3. **Gathering Information** – Develops internal and external networks for purposes of accessing information as resources for learning; gathers, analyzes and synthesizes information from a variety of official and unofficial sources including own networks; trains, educates and actively seeks to broker this information to customers. Collects and uses relevant information, data, and opinions.

4. **Identify Problems** – Assesses a situation in a logical and methodical way based on facts. Seeks root causes. Recognizes patterns, connections, themes, and issues. Sees implications and consequences of a situation or information.

5. **Perceptive and Insightful** – Sees relationships, connections, patterns, trends not obvious to others or in new ways. Extrapolates, makes inferences, and uses intuition.

6. **Plan and Organize** – Defines an end result. Sets or follows a course of action to achieve it. Anticipates potential obstacles and monitors progress. Breaks tasks into component parts in a rational, methodical way.

7. **Takes a Reasonable, Common Sense Approach to Solving Problems** – Develops feasible solutions based on logical assumptions and factual observation that reflect consideration for resources, constraints, organizational values and goals.
Generates ideas, fresh perspectives and original approaches. Open-minded. “Thinks out-of-the-box”. Goes beyond traditional ways to address issues and problems. Challenges standard or accepted practices


2. **Creative Problem-Solving** – Approaches a complex problem by identifying underlying issues, finding patterns and connections between them, and synthesizing them into a coherent whole; generates new ideas, multiple options and novel concepts through the use of reason and intuition and which are not limited by the status quo; guides the analysis of a problem all the way to a successful resolution, and enables the customer to do so as well.

3. **Flexible/Adaptable to Change** – Recognizes that the environment in which the organization functions is constantly changing and adjusts own approach and behavior accordingly; is confident of trying something different and is unafraid of taking risks and making mistakes; is resilient and capable of dealing with disappointments and setbacks.

4. **Innovative** – Generates fresh, original or unconventional perspectives and original approaches. Reexamines established ways of doing things.

5. **Inquisitive or Curious** – Seeks diverse ideas and perspectives in an open-minded manner from traditional and nontraditional sources. Seeks alternative, new or nontraditional approaches.

6. **Resourceful and Entrepreneurial** – Consistently focuses on end result and finds most effective way to achieve goals and objectives. Acts on opportunities, even if contrary to conventional wisdom. Takes calculated risks. Generates non-routine, non-traditional actions to overcome obstacles and achieve results.