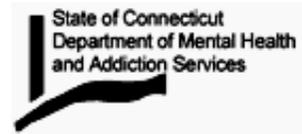


Workforce Development



Shaping a quality, diverse workforce through competence, commitment and pride



THE DMHAS MANAGERIAL PERFORMANCE MANAGEMENT SYSTEM HANDBOOK

PARS

PERFORMANCE ASSESSMENT RECOGNITION SYSTEM

&

DMHAS PERFORMANCE PROFILE

Managerial Competency Based Job Description

Revision: April 2005

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PURPOSE OF THE PERFORMANCE ASSESSMENT AND RECOGNITION SYSTEM

The purpose of the Performance Assessment and Recognition System (PARS) is to:

- Facilitate joint planning between a manager and supervising manager on what the manager is expected to accomplish.
- Establish clear, achievable, measurable, results-oriented performance objectives, consistent with the agency's priorities and mission, and considered fair by both the manager and the supervising manager.
- promote ongoing communication between the manager and the supervising manager concerning expectations, how well the manager is meeting these expectations, and what steps must be taken to ensure that objectives are met.
- Guide regular evaluations of progress and promotion of the manager's professional development. Identify corrective action needed when a manager has not accomplished a performance objective.
- Provide a basis for differentiating among levels of performance and thus serve as a basis for a manager's annual salary increase or bonus payment.
- Improve individual job performance and thereby increase the effectiveness of the agency.

These actions should encourage job satisfaction through promoting a sense of common mission and recognition of the individual's contribution to it.

EVOLUTION OF THE PROGRAM

In 1978 the Connecticut General Assembly passed legislation allowing the Department of Administrative Services to establish an incentive plan for managerial employees. This new program was based upon the recommendations of the General Commission Task Force on Management of Human Relations.

The State Personnel Division of the Department of Administrative Services encouraged agencies to develop their own Management Incentive Plan (MIP) manuals in accordance with general guidelines. Agencies formed executive teams, wrote agency mission statements, and prepared MIP plans for approval by the Personnel Development Center. This office also provided training and technical assistance for the project

Basic features of the plan, then as now, included planning and objective setting, performance education based on meeting goals, and differential annual salary increases.

The Management Incentive Plan was implemented on a pilot basis in the first five agencies in 1979-80. The next year, additional payment guidelines were issued and 10 more agency plans were approved.

In 1982 an advisory committee reviewed the MIP experience and recommended changes in procedure; including the provision that managers at their salary group maximum would receive MIP payments as bonuses, not built into salary.

In 1983 the Legislature called for a joint study of MIP by the Department of Administrative Services and the Management Advisory Committee to “review the need for the Management Incentive Plan and the State’s ability to administer such a plan equitably...” in response to this study, DAS recommended a Quality Control Committee.

This committee was established by legislation. It recommended several major changes in MIP policy:

- simplifying the rating system to allow only five final rating categories;
- Connecting those categories to specific percentages of payout.
- limiting to twenty percent those managers in each agency who could receive bonus payments
- redefining eligibility for the MIP and establishing the Professional Incentive Plan (PIP) for those in the managerial pay structure who did not meet the definition of manager

The Quality Control Committee established the statewide MIP manual to provide consistent statewide policies and procedures. In 1989 and 1990, years of severe budgetary constraint, payments to managers were limited,

and the established payout percentages were superceded. Payouts were reestablished at lower rates over the next several years.

A focus group was established by the Department of Administrative Services in 1992 to recommend adjustments to MIP. The Management Advisory Council encouraged and sponsored these changes to the program. They are being incorporated in this 1994 manual. The program, now called the Performance Assessment and Recognition System (PARS),

- limits the final appraisal categories to four,
- eliminates the Professional Incentive Plan,
- Allows more agency flexibility in the number and amount of payouts to managers.

We trust that through the evolution of this program it continues its original purposes of enhancing planning, accountability, communication; managerial performance appraisal; and recognition of excellence while refining the procedures used to achieve these goals.

**THE PROCESS
DEVELOPING A PERFORMANCE PROFILE**

The Performance Profile is a competency based job description for DMHAS managerial employees. The DMHAS Performance Profile includes five Core Performance Functions and Core Leadership Competencies that are required of DMHAS Managers. In addition, up to three Key Job Functions and appropriate competencies must be developed by each DMHAS Manager which are specific to their job responsibilities.

A Performance Profile must be created by each DMHAS manager and reviewed and revised, as applicable, on an annual basis. The Performance Profile is used as the basis for the development of one's annual PARS objectives as it is expected that managers create one PARS objective for each of the functional areas noted within their Profile based upon the agency's overarching goals.

The Performance Profile describes a manager's position in regards to the functions and competencies of the position. The Functions or Key Performance Areas reflect the major areas of responsibilities of the manager's position rather than a list of specific job duties. DMHAS has identified five Core Key Performance Functions which are in the areas of *A. Customer Service, B. Supervision, C. Planning and Budget, D. Innovation, Change and Productivity, and E. Cultural Competence*. Each manager is responsible for also identifying up to four additional key job functional areas which are the responsibility of one's particular job.

For each Function or Key Performance Area, a list of Competencies is developed. A competency is defined as the knowledge, skill, and/or ability that is necessary to perform the function in a satisfactory manner. The competencies which are necessary to perform each of the four Core Key Functions have been identified by DMHAS. The manager must also identify the specific competencies required of each of the additional key job functions which have been developed.

**THE PROCESS
DEVELOPING PARS OBJECTIVES**

Using this completed Performance Profile, Managers develop their annual PARS objectives. For each functional area, managers identify one goal/objective. These goals can either be connected to the function or to a specific competency within the particular functional area. *Therefore there must be one PARS objective for each of the functional areas noted on the Performance Profile*. In addition, managers should review the annual DMHAS PARS goals and incorporate these goals or themes within their individual PARS goals as appropriate.

DEVELOPING OBJECTIVES

There are three types of PARS Objectives:

- ◆ Maintenance Objectives are concerned with fulfilling normal duties
- ◆ Problem Solving Objectives are aimed at reducing problems
- ◆ Innovative Objectives are for new directions

Wherever possible, managers should try to create PARS objectives that are of the Problem Solving and Innovative types rather than the Maintenance type. PARS objectives must be results-focused. They must state the desired result or output that will be achieved. Objectives should not be a listing on one's duties and tasks. These objectives must also be specific and measurable. Objectives can be measured by the specific outcomes achieved (results oriented measures) and/or through the achievement of a desired behavior in relationship to the manner or process (behavior oriented measures).

THE PROCESS QUARTERLY REVIEW

On a quarterly basis, the supervising manager must review the progress toward meeting the objectives set by each manager. The purpose of these discussions is to review accomplishments, determine appropriate future actions, review competency development and to provide feedback to the manager. The supervising manager must maintain a documented record of these quarterly meetings. The Progress Review page in the PARS handbook does not need to be completed if the supervising manager keeps a different type of documentation record.

THE PROCESS FINAL PERFORMANCE RATING REVIEW

At the end of the performance year, the Supervising Manager must determine the final performance rating for each of the objectives as well as the composite rating. *This is the only page from the PARS handbook that must be completed and submitted.*

As noted in the Rating Definitions, the supervising manager is assessing performance both in the achievement of the particular objective as well as the competencies necessary to perform the duties of the function. Therefore, the manager is being rated not only in terms of the achievement of the objective but also in terms of the knowledge and skills needed for the performance of the functional area. Managers must submit their Performance Profile with their PARS Objectives/Goals.

ELIGIBILITY

Managers are eligible for PARS if they work in an agency which uses the prescribed PARS plan, are excluded from collective bargaining, and are paid on a managerial pay plan.

WHY OBJECTIVES?

An objective is a statement of specific results to be achieved within constraints such as time and cost. Objectives should include performance measures, which make possible an evaluation of whether the objective was satisfactorily achieved, and what is expected in a job well done. One of the advantages of setting objectives rather than rating skills is that results achieved are more definable than skill levels. The more specific objectives are, the more objective the appraisal can be.

SCOPE

The scope of PARS is the manager's entire job. Therefore, objectives should cover all basic duties and responsibilities of the position as well as important special projects. *Within DMHAS, managers are expected to develop one objective for each functional area as defined in their Performance Profile.*

TYPES

Types of objectives for PARS purposes are:

- Maintenance-- objectives concerned with fulfilling normal duties
- Problem Solving- objectives aimed at reducing problems
- Innovative- objectives for new directions.

Managers will not have equal opportunities to set innovative or-problem solving objectives each year. However, objectives can be set to define normal work responsibilities even when special projects or objectives are not realistic.

AGENCY MISSION

Each manager's objectives should interface with those of other managers to form the agency's mission. To facilitate this, agency heads and/or executive teams should review the agency mission statement and communicate to managers any new or revised directions for the agency at the beginning of the objective setting process, at the start of each fiscal year. Basic organizational functions will vary little from year to year. Other innovations, improvements and projects will be one-time objectives. This top-down approach enables agency heads to convey priorities to managers at the beginning of the yearly planning process.

STEPS

To formulate objectives, the manager must first develop or revise their Performance Profile which groups basic functions and competencies into a workable number of categories (6-8 is recommended). Within DMHAS, this has been defined by their Performance Profile that identifies Core Job

Functions and Competencies as well as Job Specific Functions and Competencies.

A complete objective:

- ❑ **Begins with an action verb (e.g. to increase, reduce, install, implement, develop, and submit...);**
- ❑ **States a desired result which will define the achievement of the objective (e.g. a 10 percent reduction in cost, a report acceptable to the committee...)**
- ❑ **is as specific and measurable as possible in terms of cost, time, percentage)**
- ❑ **Relates to the agency mission.**

Sometimes it is helpful to break down complex objectives into smaller and more specific achievement milestones. An action plan is an excellent organizing tool.

PRIORITIES

Each completed objective should have a priority number assigned to it based upon its relative importance. Managers may also indicate relative weights (in percentages) for their objectives, based on time involved, or importance of results, to help determine the yearly composite rating. For example, a very high rating on a first priority objective will carry considerable weight toward a high final rating. However, the same high rating on a low priority objective would carry less weight. The manager and supervising manager should discuss the amount of difference between the priorities. Is priority two nearly the same level of importance as priority one, or only half as important?

PERFORMANCE MEASURES

The more concrete and specific the objective is, the easier it will be to identify performance measures. To do this, ask “How can I tell the difference between a good job and a poor job on this objective?” Quantity, accuracy, efficiency and timeliness are typical considerations. A performance measure defines quality on the objective, which may have many aspects. For example, in a major report, performance measures might include completeness, timeliness, style and format, input from others, and how its users receive it. Performance measures can refer to both the product and the process.

CONSTRAINTS

The constraint section of the form provides room for a safety valve. Constraints are anticipated obstacles, outside the control of the manager, which may affect progress toward achieving the objective. Examples of constraint are- budget cuts, cooperation of other agencies, approval by other entities, etc.

TARGET DATE

The target date reflects the date when an objective should be completed. For an ongoing objective, the date will be the point at the end of the fiscal year when the evaluation will occur.

ACCEPTANCE

Once agreement is reached with the supervising manager on a manager's objectives, signatures and dates should be placed on the front of the PARS form to indicate acceptance.

PROGRESS REVIEWS

Periodic progress reviews ensure continuing feedback to managers during the year. It facilitates communication between the management levels, and allows the system to be responsive to emerging problems, new opportunities, and changing priorities.

Formal quarterly progress reviews are required. Results of these reviews should be noted on the PARS form or other acceptable type of documentation with the date of the meeting and the initials of manager and supervising manager.

Face-to-face progress meetings between the individual manager and the supervising manager are essential to make the PARS process effective. Managers benefit from the opportunity to review their progress on each objective, to plan any revisions, which will be needed to reach their goals, and to seek the advice and counsel of supervising managers. Quarterly progress reviews are also an opportunity for supervisors to deal with areas in which the managers work is not meeting the supervisor's expectations, or to reprioritize the work.

TOPICS

Any or all of the following topics could be on the agenda of a progress review meeting:

- update on progress toward established objectives
- removal of obstacles to progress
- identification of performance problems and proposed solutions
- revision or deletion of an objective
- addition of a new objective
- discussion of overall performance relative to functions and competencies to date

Any variance between expected and actual progress should be discussed and reconciled. Any major new development may signal the need to hold a progress review.

ANNUAL REVIEW

The annual review concludes the PARS cycle for the fiscal year. In this step the manager and supervising manager meet to discuss, summarize and document the results achieved during the year.

MEASURING RESULTS

PARS measures results achieved on objectives as well as their performance within their functions and competencies rather than only an individual's management skills to reduce the subjectivity inherent in any performance appraisal system. By using mutually agreed upon performance criteria, both parties use the same yardstick for measuring the manager's performance. If the criteria have been made clear, and the communication of expectations has been open, no surprise should occur at the annual review.

Determining a manager's annual rating requires care and skill. The annual review is an occasion for communication, motivation, and learning. Although the evaluation is primarily the responsibility of the supervising manager, the annual review should be structured to enable the manager to participate in the assessment of his/her job performance.

RATING ONLY ON ASSIGNED WORK

It is important to remember that each manager is rated on his or her assigned responsibilities (functions and competencies) and their PARS objectives. This precludes comparison of the worth or importance to the agency of one manager's job over another's. The high ranking manager should already be compensated for heavy responsibilities by the level of position classification and salary group. The PARS rating should be based on how well the tasks assigned to the manager for this year were performed not on how important those tasks were relative to those of other managers.

VALUE OF ANNUAL REVIEW

The real value of the annual rating lies in communication between manager and supervisor concerning what has been done well, and where further growth should be directed. Summarizing the year's performance, providing constructive feedback on strengths and weaknesses, identifying accomplishments, and specifying corrective, action and avenues for professional growth are key managerial appraisal tasks.

RATING CATEGORIES
in the PERFORMANCE ASSESSMENT and REVIEW SYSTEM

❑ **Exceeds Expectations**

Reserved for those managers whose achievements substantially exceed acceptable performance levels. Objectives and job requirements (functions and competencies) are met in all areas. Quality of results is superior.

❑ **Meets All Expectations**

Achieves all objectives and job requirements (functions and competencies). Competent in all responsibilities of the position. Requires minimal direction.

❑ **Needs Improvement**

Objectives and job requirements (functions and competencies) are not fully achieved. Requires substantial direction. Manager may be developing in the position.

❑ **Unsatisfactory**

Objectives and job requirements (functions and competencies) are not achieved. Requires continuous direction. Overall performance is unacceptable.

ANNUAL PAYOUT

MEETS EXPECTATIONS

Managers should expect that fulfillment of all objectives will result in a Meets All Expectations rating. This rating will merit a salary increase within the manager's salary range. This increase is usually equivalent to an annual increment for bargaining unit employees.

SALARY GROUP MAXIMUM

A manager at the maximum of his/her salary group will be eligible for the same amount received by one within the salary range, but payments above the maximum will be made as lump sum bonuses, not built into base salary.

EXCEEDS EXPECTATIONS

Only if the manager's performance is extra-ordinary because of obstacles over-come, achieving particularly difficult objectives, or reaching a truly outstanding quality of achievement, should the supervising manager recommend the highest rating Exceeds Expectations. Rater's standards should be high enough to ensure that only a limited percentage of managers exceed expectations. The exceptional achievements of the manager who receives an Exceeds Expectations rating should be obvious. Those in this category will receive a Performance Recognition Award in addition to their salary increase if funds are available for these awards statewide.

NEEDS IMPROVEMENT

A first-time Needs improvement rating will merit one half of the Meets All Expectations salary increase. A second consecutive rating of Needs improvement will not merit any increase.

UNSATISFACTORY

No payout will be made to those rated unsatisfactory. Two unsatisfactory ratings will be considered grounds for dismissal.

REVIEW

Recommendations for ratings, particularly those of Exceeds Expectations, must be reviewed by the agency head or executive team. In addition to reviewing supervisors' decisions, this is to ensure that the limits of the agency bonus pool are not exceeded. It is not appropriate to give an Exceeds Expectations rating without an accompanying bonus payment, if other managers with the same rating will receive a bonus.

The final rating and payout information should be shared with the manager only after the final approval by the agency head.

PERFORMANCE RECOGNITION AWARDS

Performance Recognition Awards are bonus awards (compensation not built into base salary) which will be paid in addition to a salary increase to managers selected for their outstanding performance.

POOL ESTABLISHED

For each eligible PARS manager in a participating agency, a fixed dollar amount will be placed in the agency's Performance Recognition Award pool.

Eligibility is based on having been a manager with objectives in place for at least six months of the rating year.

AWARD NOMINATIONS

Supervisory managers will nominate potential award recipients to their agency head or designee. These nominations will be supported by a brief written recommendation.

UPPER AND LOWER AWARD LIMITS

To make meaningful, minimum and maximum award limits will be established. The maximum award will be approximately twice the minimum award. Within these limits, awards will be determined by the agency, depending on how many awards are given and at which level, and provided that the total does not exceed the amount in the agency pool.

AUDITS

The Department of Administrative Services, Bureau of Personnel and Labor Relations will audit the PARS process. This may include ensuring

- that objectives are being used
- that face-to face progress meetings are held between managers and their supervisors, and
- That the PARS pool is appropriately distributed.

Agencies not abiding by the established guidelines will not be allowed to use Performance Recognition Awards.

STATUTES and PROCEDURES

Statutes and general letters, which set guidelines and procedures for the PARS process, are cited here for easy reference.

Connecticut General Statutes Section 5210(d) establishes the program.

The Commissioner of Administrative Services may establish one or more state incentive plans for employees whose positions have been designated managerial or confidential. Notwithstanding the provisions of this section (5-210(a,b,c)), annual salary increases or lump-sum payments for employees whose positions have been designated managerial or confidential may be based on annual performance appraisals made by agency heads or their designees in accordance with state incentive plans approved by the Commissioner of Administrative Services. Such salary increases shall be in accordance with the provisions of the compensation schedule then in effect. Such employees shall receive an increase for "good" performance up to the position rate.

General Notice 90-4 concerns promotion and new hires into the Management Pay Plan:

- 1) Promotions to the Management Pay Plan between January 1 and June 30 for those who previously had a January annual increase date:
 - a) Adjust the manager's rate of pay, effective the beginning of the pay period which includes July 1, by one-half of the percentage paid to fully successful managers the previous July.
 - b) Adjust the employee's rate of pay, effective the beginning of the pay period which includes January 1, by one half of the percentage paid to fully successful managers the previous July.
 - c) The employee will be given a permanent increase date of July 1 thereafter, and will receive increases in accordance with the standard procedure.
- 2) Promotions between July 1 and December 31 for those who previously had a January increase date:
 - a) Adjust the employee's rate of pay by one-half of the percentage paid to fully successful managers in the previous July, effective with the beginning of the pay period that includes January 1.
 - b) A manager will be given a permanent increase date of July 1 thereafter...
- 3) New hires in management classes
 - a) If hired between January 1 and June 30, the employee will receive an increase of one-half of the percentage paid to fully successful managers in the previous increase effective with the beginning of the pay period including January 1 following, and will then be given a permanent July 1 increase date thereafter.
 - b) If hired between July 1 and December 31, the employee will have a permanent July 1 date.
 - c)

A letter of August 18,1982 to Agency Heads established rules on the computation of bonus payments.

“Incentive compensation for managerial personnel at or above position rate maximum must be in the form of a lump sum payment which is to be based on the position rate of the salary group involved... The actual salary rate of a manager above position rate will not be used in this computation.”

General Notice 86-3 of August 6,1986 concerns pro-rated payments

A manager participating in a State incentive plan... who retires, is laid-off or dies between January 1 and June 30 may receive a pro-rated, bonus as provided below:

If objectives have been in place from the beginning of the actual year, a performance appraisal should be done before the manager’s departure... if this appraisal results in a rating of meets-all-expectations or higher, then pro-rating occurs according to the following schedule:

- 50% of full payout if the manager’s retirement is effective January 1 or February 1 (or lay-off or death occurs in January or February).**
- 75% of full payout if the manager’s retirement is effective March 1 or April 1 (or lay-off or death occurs in March or April).**
- 100% of payout if the manager’s retirement is effective May 1 or later in the fiscal year (or lay-off or death occurs in May or June).**

These payments are NOT available to those who are dismissed or resign during the year.

On September 18,1991 a letter was sent to Personnel Administrators and the Retirement Commission referring to General Notice 86-3. It states It our policy that these pro-rated payments should be made as a lump sum bonus payment, whether ‘or not the manager is at salary group maximum.

A letter of March 20,1991 concerns participation in incentive plans by Executive Assistants.

Executive Assistants should no longer be included in State incentive programs for managers. ...When annual increases are available, all executive assistants will be eligible for a standard percentage increase in salary...This action will remove the Assistants from consideration for differential performance ratings and bonus payments associated with the incentive plan.

A letter of March 8,1993 concerns participation by Durational Project Managers.

Certain Durational Project Manager (DPM) positions are filled by individuals from outside the State classified service. They are similar to contractual employees working on a project for a limited amount of time.

These employees should not be included in your incentive plan. Other DPM positions are filled by classified State managers who assume responsibility for a special project. This places them in this unclassified position for a period of time with the expectation that they may return to a classified position. Employees in these positions should be included. Agencies are

asked to assess the appropriate status of their Durational Project Managers.

DEPARTMENT OF MENTAL HEALTH AND ADDICTION SERVICES

PERFORMANCE PROFILE

Manager: _____ Signature: _____ Date: _____

Title: _____

Rating Period: From: _____ through _____

Supervisor: _____ Signature: _____ Date: _____

Title: _____

Directions:

This Performance Profile includes five Core Performance Functions and Leadership Competencies that are required of DMHAS Managers. In addition, up to three Key Job Functions and Competencies are to be created by each DMHAS Manager, which are specific to their job responsibilities.

Using this completed Performance Profile, Managers develop their annual PARS objectives. For each functional area, managers identify one goal/objective. These goals can either be connected to the broader function or to a specific competency within the functional area. PARS Objectives may be attached to the Performance Profile as developed on a word processing program. *There must be one PARS objective for each of the functional areas noted on the Performance Profile*

There are three types of PARS Objectives:

- ◆ Maintenance Objectives are concerned with fulfilling normal duties
- ◆ Problem Solving Objectives are aimed at reducing problems
- ◆ Innovative Objectives are for new directions

Wherever possible, managers should try to create PARS objectives that are of the Problem Solving and Innovative types rather than the Maintenance type. PARS objectives must be results-focused. They must state the desired result or output that will be achieved. Objectives should not be a listing on one's duties and tasks. These objectives must also be specific and measurable. Objectives can be measured by the specific outcomes achieved (results oriented measures) and/or through the achievement of a desired behavior in relationship to the manner or process (behavior oriented measures).

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At the end of the performance year, the Supervising Manager must determine the final performance rating for each of the objectives as well as the composite rating. *This is the only page from the PARS handbook that must be completed and submitted.*

As noted in the Rating Definitions, the supervising manager is assessing performance both in the achievement of the particular objective as well as the competencies necessary to perform the duties of the function. Therefore, the manager is being rated not only in terms of the achievement of the objective but also in terms of the knowledge and skills

needed for the performance of the functional area. Managers are to submit their Performance Profile with their PARS Objectives/Goals.

A. Core Performance Functions and Leadership Competencies

Function #1: Customer Service

Contributes to Customer Service by promoting the spirit embodied within the DMHAS Mission and Statement and has defined by the Department of Mental Health and Addiction Services in a manner consistent with the values of the agency.

Competencies:

- 1.1 Possesses the ability to assesses and evaluate the quality of services delivered in the department or unit in order to ensure the highest possible level of “customer satisfaction”**
- 1.2 Demonstrates assertive and creative problem solving ability by being able to identify problem areas affecting “customer satisfaction” and departmental/unit quality and efficiency, and has the ability to promptly correct or make recommendation for improvement (s)**
- 1.3 Demonstrates effective oral and written communication which demonstrates a regard for the dignity of all persons whom the department serves**
- 1.4 Possesses a caring and courteous attitude towards consumers, clients, service users, constituent groups and community, and employees of the entire service system**
- 1.5 Possesses the ability to positively promote and contribute to intra-departmental and inter-departmental relationships**
- 1.6 Has full knowledge of client confidentiality issues and is able to respect all client, facility, and agency information**

**Function 2: Human Resource Management / Supervisory Responsibility
(This function may be noted as “Not Applicable” if the manager does not have direct staff supervision responsibilities)**

Manages the Human Resources of the department, division, or unit in a work environment that fosters employee participation, on-going recognition and respect to ensure that quality services are provided by a competent and committed staff.

Competencies:

- 2.1 Demonstrates knowledge of all established policies, work rules requirements and procedures necessary in order to interview, select, recommend, and/or coach quality personnel on a regular and on-going basis.**
- 2.2 Possesses leadership skills necessary to maintain a high level of morale as evidence by “team spirit” and a sense of belonging, measured through evaluation of such key indicators as turnover, absenteeism, productivity standards and measurements, and direct feedback from employees.**
- 2.3 Demonstrates an understanding of all procedures necessary to complete or facilitate timely completion of all employee reports such as performance appraisals, performance pay increases, time and attendance records, counseling and disciplinary actions, in order to ensure the equitable treatment of employees and the evaluation of employee competencies**
- 2.4 Possesses the ability to develop or monitor work schedules and all job assignments to ensure adequate coverage, equitable distribution of employee time off, work and overtime assignments, and holiday coverage as measured by periodic audits and direct feedback from employees by the development and implementation of systems designed to organize and monitor work activities to assure effective organizational and individual performance**
- 2.5 Possesses the leadership skills needed to develop departmental or unit methodologies to ensure that all employee communications are effective for the purpose of informing employees of new or revised policies, listening to employee concerns/suggestions and discussing improved work methods in a collaborative fashion**
- 2.6 Demonstrates knowledge of various management strategies and selects the appropriate mechanisms best designed to achieve the best desired outcomes and assists staff members to improve job performance**

Function #3: Planning and Budget Results

Plans, organizes and monitors departmental or unit programs and services consistent with the goals and objectives of the agency and the facility.

Competencies:

- 3.1 Possesses the ability to mutually develop managerial goals and objectives with their respective supervisor and reviews on an on-going basis the same but not less than on a quarterly basis**
- 3.2 Has the knowledge needed to prepare and submit cost effective budgets and/or requests for purchases in an accurate and timely manner consistent with the provision of quality services and the goals of agency and facility**
- 3.3 Possess an understanding of fiscal operations by maintaining department or unity within the authorized budget as measured by actual budget performance reports**
- 3.4 Demonstrates effective oral and written communication skills by being able to develop, maintain, revise and communicate departmental policies and procedures consistent with the Agency's Mission in an accurate and timely fashion to ensure compliance with the agency, facility, regulatory, and governmental requirements**

Function #4: Innovation, Change and Productivity

Develops Continuous Improvement activities and productivity strategies consistent with the agency, facility, regulatory and governmental requirements.

Competencies:

- 4.1 Possesses the ability to establish and maintain continuous Improvement Activities in compliance with professional and regulatory standards**
- 4.2 Demonstrates an understanding of monitoring compliance with all health and safety regulations, occurrence reporting and required follow-up, infection control policies and practices in order to promote a safe working environment and is able to promptly correct deficiencies as cited by management or staff, and as recommended by internal departments responsible for compliance and external regulatory agencies**
- 4.3 Has an understanding of Systems/Organizational Change by effectively adapting structural and/or personnel changes needed to maximize performance and outcomes**

- 4.4 Possesses the leadership skills needed which promotes team innovation and calculated risk taking within the unit/department by all employees

Function #5: Cultural Competence

Promotes a work environment that supports quality delivery of integrated, culturally competent services to persons whose needs are particularly challenging or not being well met.

Competencies:

- 5.1 Demonstrates an understanding of the importance of creating a work environment that recognizes differences and maximizes the strengths off all cultures
- 5.2 Demonstrates knowledge of the relevance of culturally appropriate interventions with staff and clients in a behavioral health service system
- 5.3 Demonstrates familiarity with the growing body of knowledge in the areas of cultural competency, multiculturalism and diversity
- 5.4 Possesses an understanding of issues related to discrimination, prejudice and bias, and demonstrates the ability to manage those issues effectively
- 5.5 Demonstrates knowledge in providing staff with opportunities to develop their effectiveness in cross-cultural settings with clients and/or staff

B. Key Job-Specific Functions and Personal Competencies

In developing your Key Job-Specific Functions, please follow the same style/format as the Core Performance Functions and Competencies. Each Function should be labeled and a description of the function provided. For each of these functions, managers should identify and list the competencies (knowledge, skill and abilities necessary for the satisfactory performance of the functional duties) required of the functional area. List as many competencies as necessary.

Function #6 _____

Competencies:

6.1

6.2

6.3

6.4

6.5

Function #7: _____

Competencies:

7.1

7.2

7.3

7.4

7.5

Function #8: _____

Competencies:

8.1

8.2

8.3

8.4

8.5



STATE OF CONNECTICUT

PERFORMANCE ASSESSMENT and RECOGNITION SYSTEM

PLANNING AND APPRAISAL RECORD

MANAGER		
TITLE	SIGNATURE	DATE
AGENCY AND UNIT		
RATING PERIOD:	FROM	TO
SUPERVISING MANAGER		
TITLE	SIGNATURE	DATE

PURPOSE OF THE PERFORMANCE ASSESSMENT AND RECOGNITION SYSTEM

- Facilitate joint planning between a manager and supervising manager on what the manager is expected to accomplish.
- Establish clear, achievable, measurable, results-oriented performance objectives, consistent with the agency's priorities and mission, and considered fair by both the manager and the supervising manager.
- Promote ongoing communication between the manager and the supervising manager concerning expectations, how well the manager is meeting these expectations, and what steps must be taken to ensure that objectives are met.
- Guide regular evaluations of progress and promotion of the manager's professional development. Identify corrective action needed when a manager has not accomplished a performance objective.
- Provide a basis for differentiating among levels of performance and thus serve as a basis for a manager's annual salary increase or bonus payment.
- Improve individual job performance and thereby increase the effectiveness of the agency.

DMHAS Manager's must also prepare and submit a Performance Profile that identifies the Core Job Functions and Competencies as well as the Job Specific Functions and Competencies.

Managers must develop one PARS Goal/Objective for each functional area of their Performance Profile.

GOALS AND OBJECTIVES - THE PLANNING PROCESS

The manager, together with the supervising manager, will list the manager's performance objectives for the fiscal year in order of functions as noted on the Performance Profile. Each objective should state what the manager plans to accomplish, identify performance measures to determine whether the objectives are accomplished, and specify the target date for completion. (Use additional sheets if necessary.) Priority is utilized if objectives are not equally weighted.

PRIORITY NO.	TARGET DATE	OBJECTIVE: FUNCTION 1: CUSTOMER SERVICE
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OBJECTIVE (continued)

CONSTRAINTS

PERFORMANCE MEASURES

PRIORITY NO.	TARGET DATE	OBJECTIVE: FUNCTION 2: HUMAN RESOURCE MANAGEMENT / SUPERVISORY RESPONSIBILITY <i>(This objective may be noted as "Not Applicable" if manager does not have supervisory responsibilities)</i>
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OBJECTIVE (continued)

CONSTRAINTS

PERFORMANCE MEASURES

PRIORITY NO.	TARGET DATE	OBJECTIVE: FUNCTION 3: PLANNING AND BUDGET
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OBJECTIVE (continued)

CONSTRAINTS

PERFORMANCE MEASURES

PRIORITY NO.	TARGET DATE	OBJECTIVE: FUNCTION 4: INNOVATION, CHANGE AND PRODUCTIVITY
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OBJECTIVE (continued)

CONSTRAINTS

PERFORMANCE MEASURES

PRIORITY NO.	TARGET DATE	OBJECTIVE: FUNCTION 5: CULTURAL COMPETENCE
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OBJECTIVE (continued)

CONSTRAINTS

PERFORMANCE MEASURES

PRIORITY NO.	TARGET DATE	OBJECTIVE: FUNCTION 6:
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OBJECTIVE (continued)

CONSTRAINTS

PERFORMANCE MEASURES

PRIORITY NO.	TARGET DATE	OBJECTIVE: FUNCTION 7:
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OBJECTIVE (continued)

CONSTRAINTS

PERFORMANCE MEASURES

PRIORITY NO.	TARGET DATE	OBJECTIVE: FUNCTION 8:
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OBJECTIVE (continued)

CONSTRAINTS

PERFORMANCE MEASURES

PLANNING AND APPRAISAL RECORD

PROGRESS REVIEW - THE COMMUNICATION PROCESS

In addition to informal discussions of progress, the supervising manager should periodically review the progress toward meeting objectives set by each manager. Quarterly reviews are recommended. The purpose of this discussion is to review accomplishments, identify obstacles, determine appropriate future actions, and, if necessary, to revise objectives.

PRORITY NO. FUNCTION 1	FIRST QUARTER	SECOND QUARTER	THIRD QUARTER	FOURTH QUARTER
ACTIONS STEPS TAKEN and/or ADJUSTMENTS NEEDED				
Mgr. And Supv. Initials Date				
PRORITY NO. FUNCTION 2	FIRST QUARTER	SECOND QUARTER	THIRD QUARTER	FOURTH QUARTER
ACTIONS STEPS TAKEN and/or ADJUSTMENTS NEEDED				
Mgr. And Supv. Initials Date				
PRORITY NO. FUNCTION 3	FIRST QUARTER	SECOND QUARTER	THIRD QUARTER	FOURTH QUARTER
ACTIONS STEPS TAKEN and/or ADJUSTMENTS NEEDED				
Mgr. And Supv. Initials Date				
PRORITY NO. FUNCTION 4	FIRST QUARTER	SECOND QUARTER	THIRD QUARTER	FOURTH QUARTER
ACTIONS STEPS TAKEN and/or ADJUSTMENTS NEEDED				
Mgr. And Supv. Initials Date				

PRORITY NO. FUNCTION 5	FIRST QUARTER	SECOND QUARTER	THIRD QUARTER	FOURTH QUARTER
ACTIONS STEPS TAKEN and/or ADJUSTMENTS NEEDED				
Mgr. And Supv. Initials Date				

PRORITY NO. FUNCTION 6	FIRST QUARTER	SECOND QUARTER	THIRD QUARTER	FOURTH QUARTER
ACTIONS STEPS TAKEN and/or ADJUSTMENTS NEEDED				
Mgr. And Supv. Initials Date				

PRORITY NO. FUNCTION 7	FIRST QUARTER	SECOND QUARTER	THIRD QUARTER	FOURTH QUARTER
ACTIONS STEPS TAKEN and/or ADJUSTMENTS NEEDED				
Mgr. And Supv. Initials Date				

PRORITY NO. FUNCTION 8	FIRST QUARTER	SECOND QUARTER	THIRD QUARTER	FOURTH QUARTER
ACTIONS STEPS TAKEN and/or ADJUSTMENTS NEEDED				
Mgr. And Supv. Initials Date				

ANNUAL REVIEW - THE APPRAISAL PROCESS

The supervising manager will determine, after discussion with the manager, the final performance rating for each objective and the composite rating. It is important to note that each composite rating must be finally considered in the context of all other agency managers.

RATING DEFINITIONS

Exceeds Expectations	Reserved for those managers whose achievements substantially exceed acceptable performance levels. Objectives and job requirements (function and/or competencies) are met in all areas. Quality of results is superior.
Meets All Expectations	Achieves all objectives and job requirements (function and/or competencies). Competent in all responsibilities of the position. Requires minimal direction.
Needs Improvement	Objectives and job requirements (function and/or competencies) are not fully achieved. Requires substantial direction. Manager may be developing in the position.
Unsatisfactory	Objectives and job requirements (function and/or competencies) are not achieved. Requires continuous direction. Overall performance is unacceptable.

OBJECTIVE (Listed by Function #)	Exceeds Expectations	Meets All Expectations	Needs Improvement	Unsatisfactory
Function 1: Customer Service				
Function 2: HR Management / Supervision				
Function 3: Planning and Budget				
Function 4: Innovation, Change & Productivity				
Function 5: Cultural Competence				
Function 6:				
Function 7:				
Function 8:				

SIGNATURES (Manager's signature confirms report was discussed with supervisor. It does not indicate approval of Rating.)	SIGNED (Manager)	Date
	SIGNED (Supervising Manager)	Date
	SIGNED (Agency Head or Designee)	Date

COMPOSITE OVERALL RATING (Check One)	<input type="checkbox"/>	Exceeds Expectations	<input type="checkbox"/>	Meets All Expectations	<input type="checkbox"/>	Needs Improvement	<input type="checkbox"/>	Unsatisfactory

Comments:

