

ACHIEVEMENT AND COMPETENCY ENHANCEMENT SYSTEM (ACES)

2012 Rating Scale Definitions for Evaluating Managers

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2012 Rating Scale Definitions for Evaluating Managers on Progress Review Phase

Rating Definitions for Manager Objectives

Appraising Managers will rate their managers' objectives using the ratings categories and definitions below. Please review the definitions carefully before assigning ratings.

Above Target:	Strategic objective is ahead of schedule and/or performance exceeds expected quality level.
On Target:	Strategic objective is on schedule and/or performance is at expected quality level.
Below Target:	Strategic objective is behind schedule due to factors within the manager's control and/or performance is below the expected quality level.
Not Applicable	This objective no longer applies to the manager's current position. The manager may have transferred from another agency or from another position within the agency, where he/she had previously worked on this objective. In this case, the manager should have defined different objectives on his/her form relating to the new position.

Determining Overall Ratings for Progress Review

What aspects of the form are taken into account when determining the Progress Review Overall Rating?

Only progress on Manager Objectives is taken into account during this phase. When selecting a rating, the Appraising Manager should hold the Reporting Manager harmless if he or she was unable to accomplish the objective due to factors beyond their control (e.g., employee on medical or military leave). If an objective is no longer a priority for the agency, this should be reflected in the comments and the weights of the remaining objectives should be adjusted accordingly. Core Managerial Competencies and Career Growth Objectives are not rated at this time.

How do I Select a Progress Review Overall Rating?

At Progress Review, Appraising Managers will provide an overall evaluation of each Reporting Manager's performance, using the three rating categories described below. Appraising Managers will write the reasons for each rating in the applicable "Comments" section of the ACES form. The definitions for the Overall Summary Ratings are shown below. Please note that the guidelines pertaining to objectives are advisory only. However, the Appraising Manager should keep in mind the recommendations below, while using his/her own discretion and best judgment.

While the Progress Review Overall Rating should be predominantly based on the Reporting Manager's performance on the objectives, the Appraising Manager may take into account other significant factors of concern (examples: attitude, violations of state policies governing management behavior, such as the Manager's Code of Conduct, Sexual Harassment, State Ethics, or attendance policies, etc.) as long as these issues are well documented in "Progress Review Overall Rating and Comments" section.

How Should I Deal with Poor Performance?

Violations of state policies governing management behavior, such as the Manager's Code of Conduct, Sexual Harassment, State Ethics, attendance policies or other serious performance issues may result in immediate disciplinary action up to and including termination of employment, without the implementation of a professional development or remedial plan. Please consult with your Human Resources Office to discuss any serious performance issues or a decision to implement discipline. The Human Resources Division (HRD) offers a course, "Coaching for Performance and Development" on how to effectively coach and counsel your best performers as well as your poor performing managers. The course also teaches you how to write professional/staff development plans and remedial improvement plans. If you are interested in enrolling, please visit the [HRD's training website](#).

Overall Rating Category: Successful Performer

Description	<p>Performance is successful and at a proficient level expected of a fully experienced manager. Performance may consistently exceed expectations or rank among the highest performing managers in the agency in terms of initiative, efficiency, quality, timeliness and working with others. The good performance is due to the manager's own effort and skills. Considered a valued team member and individual contributor. Consistently meets performance, may exceed standards and routinely delivers expected results.</p> <p>Fulfills and may exceed the job requirements. Occasionally or may routinely take on added responsibilities when requested. Contributes to the organization and is recognized as being essential to his/her job function. Consistently follows through on commitments and promises. Delivers results on time and within budget. Takes appropriate action when staff are not performing satisfactorily.</p>
Manager Objectives	Most objectives are rated "On Target" or "Above Target."
Distribution Guideline	65% - 75% of managers are expected to fall into this category.

Overall Rating Category: Satisfactory

Description	<p>Performance is generally at a proficient level expected of a fully experienced manager. The good performance is due to the manager's own effort and skills. Considered a valued team member and individual contributor. Generally meets performance standards and delivers expected results.</p> <p>Fulfills most job requirements. Contributes to the organization and is recognized as being essential to his/her job function. Generally follows through on commitments and promises. Generally delivers results on time and within budget. Takes appropriate action when staff are not performing satisfactorily.</p>
Manager Objectives	Most objectives are rated "On Target".
Distribution Guideline	15% - 25% of managers are expected to fall into this category.

Overall Rating Category: Below Expectations

Description	<p>Performance is below the acceptable threshold. Performance may meet some of the job expectations but does not fully meet the remainder. Performance may be consistently unacceptable; significant improvement may be needed by the time of final review or disciplinary action may result.</p> <p>The manager needs to improve and demonstrate that he or she has the capacity to improve. The manager should have an immediate short-term development plan and re-evaluation well before Final Review or for the upcoming evaluation year.</p> <p>The manager generally is doing the job at a marginal level, and improvement is needed. Performance needs development to meet the standards expected of an experienced and competent manager. The manager is not satisfactorily contributing to the organization and may have taken action that has created unnecessary problems for the agency.</p>
Manager Objectives	The majority of objectives are rated "Below Target."
Distribution Guideline	0%- 5% of managers are expected to fall into this category (percentage would be on lower end of the range for agencies that have addressed performance issues throughout the year.)

2012 Rating Scale Definitions for Evaluating Managers on Final Review Phase

Final Reviews

Rating Manager Objectives: Appraising Managers will rate their managers' objectives using the ratings categories and definitions below.

Exceptional Performance: It is hard to see how the job could be done better.

Timeliness:	Finishes deliverables ahead of schedule or faster than established turnaround times, while maintaining high quality.
Quality:	Final deliverables are excellent and do not need revisions or involvement by supervisor. Demonstrates unusually high levels of creativity.
Efficiency:	Uses agency resources (time, money, talent) in an efficient and cost-effective manner; develops new ways to enhance productivity; reengineers processes to improve efficiency. Assesses and manages risk in the introduction of new and creative solutions to challenges.
Initiative:	Is proactive in handling all assignments. Seeks out new tasks and exerts effort well beyond what is expected. Anticipates problem issues and brings new solutions to supervisor for future strategic action.
Working with others:	Develops and maintains collaborative relationships with all levels of staff, customers, clients, and stakeholders both inside and outside the organization. Communicates extensively with internal and external stakeholders to ensure the success and acceptance of agency initiatives. Demonstrates team leadership skills.

Highly Effective Performance: Manager consistently exceeds the defined expectations of his/her supervisor in carrying out the objective.

Timeliness:	Always meets deadlines; finishes deliverables ahead of schedule or faster than established turnaround times.
Quality:	Deliverables are complete and thorough. Rarely needs revisions or further involvement by supervisors.
Efficiency:	Uses agency resources (time, money, talent) in an efficient and cost effective manner. Develops new ideas and solutions to meet challenges.
Initiative:	Seeks out new tasks and works in a proactive manner in handling assignments. Exerts effort beyond what is expected. Anticipates problem issues.
Working with others:	Develops and maintains collaborative relationships with all levels of staff, customers, and clients both inside and outside the organization. Communicates with internal and external stakeholders to ensure the success and acceptance of agency initiatives. May exhibit team leadership skills.

Successful Performer: Manager meets and may exceed defined expectations in carrying out the objective.

Timeliness:	Routinely meets deadlines; often finishes deliverables ahead of schedule or faster than established turnaround times.
Quality:	Deliverables are complete and thorough, needing minimal revisions or further involvement by supervisors.
Efficiency:	Uses agency resources (time, money, talent) in an efficient and cost effective manner. Brings new ideas and solutions to the attention of supervisor.
Initiative:	Works in a proactive manner in handling assignments. Often exerts effort beyond what is expected.
Working with others:	Develops and maintains collaborative relationships with all levels of staff, customers, and clients both inside and outside the organization. Communicates well at all levels. Serves as an important team contributor.

Satisfactory: Manager meets defined expectations of his/her supervisor in carrying out the objective.

Timeliness:	Usually meets deadlines. Often anticipates needs and recommends plans.
Quality:	Deliverables are accurate; some products occasionally need further analysis, development, or direction from supervisors.
Efficiency:	Uses agency resources (time, money, talent) with consideration for efficiency and cost-effectiveness. Manager is committed to delivering value for taxpayer dollars.
Initiative:	Exhibits initiative level expected of Commonwealth managers. The incumbent is a steady contributor to agency activities.
Working with others:	Develops effective working relationships with agency staff, customers, and clients. Serves as a contributor to team efforts.

Below Expectations: Manager's performance on objective is unacceptable.

Timeliness:	Does not meet deadlines or established turnaround times.
Quality:	Most deliverables are inaccurate and supervisory direction is either ignored or not sought out when there are problems.
Efficiency:	Does not make efficient use of agency resources (time, money, talent); uses more resources than is necessary to accomplish work, or does not take full advantage of existing resources; unproductive.
Initiative:	Does not initiate actions. Puts forth minimal effort.
Working with others:	Alienates other staff and outside contacts; creates ineffective working environment. Does not contribute and may hinder teamwork.

Not Applicable: This objective no longer applies to the manager's current position. The manager may have transferred from another agency or from another position within the agency, where he/she had previously worked on this objective. In this case, the manager should have defined different objectives on his/her form relating to the new position.

2012 Rating Categories for Core Managerial Competencies

Final ratings for core managerial competencies cover three areas: Communication/Interpersonal Skills, Decision-Making Skills, and Supervisory Skills. After final ratings are entered, there is a combined calculated rating for each of the three areas as well as an overall average score for all three competencies.

- 0.0 Not applicable
- 1.0 Seldom demonstrates this behavior
- 2.0 Occasionally demonstrates this behavior
- 3.0 Frequently demonstrates this behavior
- 4.0 Consistently demonstrates this behavior

A. Communication/Interpersonal Skills

- Demonstrates effective oral communication skills (including facilitation, formal presentations, etc. if applicable.)
- Demonstrates effective written communication skills (including complex or technical reports/memos if applicable.)
- Encourages collaboration and ensures sense of ownership of goals. Creates understanding of individual contribution and strong team morale.
- Handles difficult people well by using good listening skills and diffusing conflict.
- Receives constructive criticism well and responds by changing behavior or taking other appropriate action.

B. Decision-Making Skills

- Anticipates and adjusts to change; is flexible and open-minded about doing things in a new or different way. Willingly accepts new assignments. Openly expresses support and/or concerns about proposed changes.
- Makes sound decisions in difficult, confusing, and/or highly complex situations under tight timeframes and pressure. Involves supervisor and staff as appropriate.
- Takes calculated risks, considering consequences for all parties. Willing to step outside "comfort zone" in making some decisions or suggesting new ideas.

C. Supervisory Skills

- Delegates decision-making authority appropriately.
- Manages and allocates budget and staffing resources in an effective and efficient manner.
- Promotes candid and open atmosphere by being accessible to all employees and directly communicating with employees on a regular basis.
- Provides timely and valuable performance feedback including constructive criticism when applicable on ACES and EPRS forms for staff. Fosters employee development and career growth.

2012 Rating Categories for Career Growth Objectives

- Accomplished
- In Progress: Objectives are multi-year (i.e. earn a college degree), were partially accomplished, or were deferred to the next evaluation year due to lack of resources (funding, insufficient time to complete objective due to factors beyond the control of the Reporting Manager; these factors occurred in the last few months of the evaluation cycle so there was no time to develop new objectives.)
- Not Accomplished

2012 Final Review Overall Rating Definitions

Achievement and Competency Enhancement System (ACES) Rating Overall Performance

What aspects of the form are taken into account when determining the overall rating?

Ratings for manager objectives, core managerial competencies, and career growth objectives are all considered in the Final Review Overall Rating.

How do I Select a Final Review Overall Rating?

At Final Review, Appraising Managers will provide an overall evaluation of each Reporting Manager's performance, using the five rating categories described below. Appraising Managers will write the reasons for each rating in the applicable "Comments" section of the ACES form. The definitions for the Overall Summary Ratings are shown below. Please note that the guidelines pertaining to objectives are advisory only. However, the Appraising Manager should keep in mind the recommendations below while using his/her own discretion and best judgment.

While the Final Review Overall Rating should be predominantly based on the Reporting Manager's performance on the objectives, core managerial competencies, and career growth objectives the Appraising Manager may consider other significant factors of concern (examples: attitude, violations of state policies governing management behavior, such as the Manager's Code of Conduct, Sexual Harassment, State Ethics, or attendance policies, etc.) as long as these issues are well documented in the "Comments" section. The rating of the main objectives should be the major factor in determining the overall final rating, but the ratings for core managerial competencies and career growth objectives should be taken into account and could shift the overall rating up or down one category (especially in the cases where performance is barely reaching the criteria in the default rating category). **While there is no strict formula or calculation required, a good rule of thumb is that main objectives have a relative weight of 60%, core managerial competencies 30% and career growth objectives 10%.**

Distribution of Merit Ratings

The distribution of ratings, with the exception of that for "Exceptional Performance," are recommended guidelines based on what would be expected in a mature organization with experienced managers. The 10% cap on "Exceptional Performance" is a firm limit. You must obtain special permission for an exemption. **Please do not share either the Final Review Overall Rating with your Reporting Manager until your Human Resources office has told you that your agency's overall ratings distribution has been approved by your secretariat and the Human Resources Division (HRD).**

Dealing with poor performance

Violations of state policies governing management behavior, such as the Manager's Code of Conduct, Sexual Harassment, State Ethics, attendance policies or other serious performance issues may result in immediate disciplinary action up to and including termination of employment, without the implementation of a professional development or remedial plan. Please consult with your Human Resources office to discuss any serious performance issues or a decision to implement discipline. HRD offers a course, "Coaching for Performance and Development" on how to effectively coach and counsel your best performers as well as your poor performing managers. The course also teaches you how to write professional/staff development plans and remedial improvement plans. If you are interested in enrolling, please visit the [HRD's training website](#).

Overall Rating Category: Exceptional Performance

<p>Description</p>	<p>Performance consistently ranks among the highest performing managers in the agency in terms of initiative, efficiency, quality, timeliness and working with others. Deserving of special recognition. The “Exceptional” rating is difficult to achieve because it represents first-rate noteworthy performance or consistent achievement well beyond the regular assignment.</p> <p>Consistently exhibits a rare level of peak performance, which serves as a role model for others. Makes decisions and judgments that positively impact the agency as a whole. Regularly goes far beyond what is expected of managers in this job. Achievements are clearly superior to the level of performance required for the job and other managers see this manager as being critical to the agency’s success. Personally displays the highest level of integrity and a strong commitment to the organization’s mission and goals. Develops innovations that significantly improve overall agency operations by “thinking outside the box”. Sets the highest example of cooperation and teamwork. Serves as the ideal standard for collaboration and cooperation. Discovers and develops hidden talents and latent potential in employees. Demonstrates a “whatever it takes,” and “above and beyond,” philosophy in all aspects of their job.</p>
<p>Manager Objectives</p>	<p>Objectives rated "Exceptional" equal at least 80% of total weight of objectives; balance rated "Highly Effective."</p>
<p>Core Managerial Competencies</p>	<p>The overall average score for all three competencies is at least 3.8.</p>
<p>Career Growth Objectives</p>	<p>All Career Growth objectives are rated "Accomplished."</p>
<p>Distribution Cap</p>	<p>A minimum of 5% and no more than 10% of all managers may be rated “Exceptional” without approval of the Secretariat and Chief Human Resources Officer, HRD.</p>

Overall Rating Category: Highly Effective Performance

<p>Description</p>	<p>Performance consistently exceeds expectations. Uses extraordinary application of knowledge, skills and/or abilities to surpass the required standards and overall performance expectations. Demonstrates solid work ethic and personal standards.</p> <p>Manager's behavior reflects a commitment to continuous improvement and enhanced service delivery to customers and clients. Displays deep dedication to the agency mission/goals, and personal and professional integrity. Coaches and counsels staff to develop their capabilities and further their professional careers.</p>
<p>Manager Objectives</p>	<p>Objectives rated "Highly Effective" or higher equal at least 65% of the total weight of objectives; balance rated "Successful Performer."</p>
<p>Core Managerial Competencies</p>	<p>The overall average score for all three competencies is at least 3.6.</p>
<p>Career Growth Objectives</p>	<p>The majority of Career Growth objectives are rated "Accomplished"; balance are rated "In-progress."</p>
<p>Distribution Guideline</p>	<p>Approximately 25%-35% of all managers will fall into this category.</p>

Overall Rating Category: Successful Performer

Description	<p>Performance is successful and at a proficient level expected of a fully experienced manager. The good performance is due to the manager's own effort and skills. Considered a valued team member and individual contributor. Consistently meets performance standards and routinely delivers expected results.</p> <p>Fulfills and may exceed the job requirements. Occasionally takes on added responsibilities when requested. Contributes to the organization and is recognized as being essential to his/her job function. Consistently follows through on commitments and promises. Delivers results on time and within budget. Takes appropriate action when staff are not performing satisfactorily.</p>
Manager Objectives	Objectives rated "Successful Performer" or higher equal at least 75% of the total weight of objectives; balance rated "Satisfactory".
Core Managerial Competencies	The overall average score for all three competencies is at least 3.0 .
Career Growth Objectives	A majority of these objectives are rated "Accomplished".
Distribution Guideline	Approximately 35%-45% of managers will fall into this category.

Overall Rating Category: Satisfactory

Description	<p>Performance is generally at a proficient level expected of a fully experienced manager. The good performance is due to the manager's own effort and skills. Considered a valued team member and individual contributor. Generally meets performance standards and delivers expected results.</p> <p>Fulfills most job requirements. Contributes to the organization and is recognized as being essential to his/her job function. Generally follows through on commitments and promises. Generally delivers results on time and within budget. Takes appropriate action when staff are not performing satisfactorily.</p>
Manager Objectives	Objectives rated "Satisfactory" equal at least 30% of the total weight of objectives.
Core Managerial Competencies	The overall average score for all three competencies is at least 2.0 .
Career Growth Objectives	May not have accomplished career growth objectives.
Distribution Guideline	Approximately 15%-25% of managers will fall into this category.

Overall Rating Category: Below Expectations

Description	Performance is consistently unacceptable; significant improvement is needed within six months or disciplinary action up to and including termination of employment may result. Performance shows no significant progress or improvement over time. Performance generally fails to meet the defined expectations or requires frequent, close supervision and/or the redoing of work. The manager is not doing the job at the level expected for managers in this position. Work habits are below standard.
Manager Objectives	Objectives rated "Below Expectations" equal at least the majority of the total weight.
Core Managerial Competencies	The overall average score for all three competencies is below 2.0 .
Career Growth Objectives	The majority of career growth objectives were not accomplished. If any manager objectives are rated "Below Expectations", the manager should have an immediate short-term development plan and re-evaluation for the upcoming evaluation year.
Distribution Guideline	Approximately .5%-3% or less of managers will fall into this category (percentage would be less for agencies that have addressed performance issues throughout the year.)