

## *Choice Performance Confirmation Program*

### Application Guide

### Preliminary Submittal Guide

#### **Introduction**

This confirmation process will get you closer to developing a credible employee performance management program, building employee confidence in the agency's employee performance management program and enhancing a performance-based culture.

An agency receiving confirmation successfully demonstrates:

- An ingrained performance based culture
- A commitment to its staff's learning and development
- A successful performance planning and evaluation process
- An internal quality review process of performance plans and evaluations
- Extensive training of staff and supervisors
- A high level of employee confidence

Applying for confirmation is a multi-step process. It will help you assess your agency's ability to meet these indicators of a high-performing employee performance management system. Use this guide to help you gauge your readiness to begin the confirmation process and to complete the preliminary application.

This guide will help you complete the first five steps of the application process.

#### **Application content**

Your preliminary application answers a series of questions tied to eight of the 10 confirmation criteria. In preparation, you should:

- 1. Review the preliminary application submittal table.** The submittal table (see Attachment A) shows the items to complete. Criteria requirements are presented in question and answer format. The left column lists the questions to complete and the attachment(s) to include with your response. Some criteria have more than one category of questions to complete. The bulleted questions describe details that must be addressed. You may include information from other applications such as Performance Excellence Northwest (PENW), a regional Baldrige affiliate or WSQA to support your response to these questions (See WSQA Cross-Reference Table). The right-hand column contains the standards that will be used to evaluate your application. They measure the maturity of your approaches, the breadth of deployment strategies, extent of organizational learning and integration with your overall performance management system. You should refer to the application questions and the evaluation standards in your responses.
- 2. Start by preparing the introduction.** The introduction helps reviewers understand your lines of business, structure and performance management philosophy. You should discuss your vision, mission, values and other information critical to understanding your agency.

3. **Respond completely to all application questions.** The questions allow the confirmation review group (CRG) and SHR to evaluate and provide feedback. Review and feedback depend entirely on the completeness of your responses.
4. **Cross-reference where appropriate.** While the questions are designed to evaluate different criteria, some information may be relevant to many areas. It is appropriate to refer to previous responses without repeating information.

### Application process

Applying for confirmation is a multi-step process that includes the following:

#### Pre-application

1. **Briefing.** Your HR manager/director and HR staff receive a briefing on the CPC Program from SHR.
2. **Project manager.** Your agency will likely need to appoint a project manager and convene a work group to assess readiness, develop plans and/or missing components and prepare submissions.
3. **Preliminary readiness assessment.** Use the SHR Preliminary Readiness Assessment tool and the Employee Performance Management Program Survey to evaluate your agency's strengths relative to the confirmation criteria.
4. **Preliminary application packet.** Once you are satisfied you meet the baseline requirements, complete and submit the results of your Preliminary Application Submittal and your Employee Performance Management Program Survey to SHR. This preliminary application packet must demonstrate that you meet certain readiness criteria. The packet will be evaluated and you will be provided feedback on your agency's readiness to move forward.
5. **Executive meeting.** Your chief executive/deputy and SHR discuss expectations and you obtain formal approval to move forward with development of your performance management program. This may include scheduling a target date for final submission.

#### Program development

6. **Develop/Document program.** The project manager and work group develop model PDPs and work on the seven CPC program components, including:
  - Develop and/or document current program components including procedures, implementation and communication strategies and plans, and monitoring procedures
  - Program award criteria and process
  - Recommendation and approval process
  - Reconsideration process
  - Roles, accountability, policies and procedures
  - Training strategies and plans
  - Funding

The CPC program should have a full action plan as well as an analysis where there are gaps.

#### Final Application

7. **Confirmation review group.** SHR will convene a confirmation review group (CRG) consisting of three representatives from confirmed agencies. In addition to evaluating your final application, the CRG will provide feedback and input as you develop your program and submit

your final application. SHR is also available for consultation as you move through the conformation process.

8. **Final application.** When ready, the project manager and work group complete and submit the final application to SHR. SHR will review the plan against the 10 confirmation criteria, ensure the program contains the components of a successful performance management program and schedule a briefing.
9. **Briefing.** Your chief executive/deputy, project manager and work group present your application to SHR and the CRG.
10. **Deliberations.** SHR and the CRG analyze the final application and make a recommendation to the OFM director or designee.
11. **Decision.** The OFM director or designee makes a decision on whether to grant confirmation.

### Implementation

12. **Post-confirmation implementation.** Following confirmation, you provide training to your supervisors on your performance incentive program. After training, the project manager and work group assess results and prepare to implement the award program.
13. **Post-confirmation monitoring report.** Following the distribution of your first-year awards, you will conduct another Employee Performance Management Program Survey. Those results will be included in your initial report to SHR. In addition to the survey results, your agency collects data, analyzes the results and submits a report to SHR following SHR guidelines. SHR analyzes the report and provides input to the OFM director or designee. Confirmed agencies are required to submit annual reports to SHR following their designation. SHR will work with an agency to help assure a successful program by providing consultations, other agency examples and resources. SHR reserves the right to remove an agency's designation if its performance management program no longer meets the required components.
14. **Post-confirmation program development.** Following confirmation, your agency should be continually developing and pushing forward your performance management program to better align with your agency culture and new best practices by either improving current CPC program components and/or developing additional components. Any changes to current components, or development of new components, are required to be reported to SHR as they occur.

### Consultation and assistance

SHR is available to provide consultation and assistance throughout the confirmation process, including a briefing to your executive management team about the confirmation process.

Please contact Don Chavez at [don.chavez@ofm.wa.gov](mailto:don.chavez@ofm.wa.gov) for more information.

### Tools and resources

Use the following tools and resources to learn more about the confirmation process:

- Choice Performance Confirmation Program – Overview
- Application Guide – Preliminary Application Submittal Guide
- Preliminary Readiness Assessment
- Employee Performance Management Program Survey
- Baldrige/WSQA Question Crosswalk Table
- Final Application and Guide
- Monitoring Report Guide

**Attachments**

A. Preliminary Application Submittal Table

B. Checklist

**Submittal Requirements**

**Attachment A**

Use the application questions and evaluation standards listed below to complete your application.

<b>Preliminary Application Submittal Table</b>	
<b>Questions</b>	<b>Evaluation Standards</b>
<p><b>Introduction</b></p> <ul style="list-style-type: none"> <li>• What are your agency’s purpose, vision, mission and values?</li> <li>• What are your agency’s main services and organizational structure?</li> <li>• What are your agency’s philosophy and goals around performance management?</li> </ul>	Not rated
<b>Performance Incentive Program</b>	
<p>What performance-based practices are you considering for your performance incentive program?</p> <ol style="list-style-type: none"> <li>1. We have discussed the desired outcomes we expect to achieve by developing an incentive program.</li> <li>2. We have discussed what parts of our agency and which employees will be impacted by this program.</li> <li>3. We have discussed what performance-based practices we are proposing for our performance incentive program such as:                             <ol style="list-style-type: none"> <li>a. Leave amounts for lump sum, goal sharing and gain sharing programs</li> <li>b. Benefits and/or penalties for layoff programs</li> <li>c. Award levels (if using an award program with multiple levels)</li> </ol> </li> </ol>	Not rated

<b>Preliminary Application Submittal Table</b>	
<b>Questions</b>	<b>Evaluation Standards</b>
<p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Copies of charts and/or tables detailing incentive types, amounts and levels (if using an award program with multiple levels)</li> </ul>	
<b>1. Executive commitment</b>	
<p><b>Executive commitment</b>                      How has your leadership demonstrated its commitment to a performance-based culture and receiving performance confirmation?</p> <ul style="list-style-type: none"> <li>• Our agency demonstrates a historic culture of performance.</li> <li>• Our chief executive has communicated his/her commitment to a performance management culture.</li> <li>• Our senior leadership has been involved in the development of the agency’s current performance management system and is preparing for confirmation.</li> <li>• Our agency has formed a project team composed of a cross section of the agency.</li> <li>• Our senior leadership has given the team adequate resources, training, tools and time to complete the project.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Copy of confirmation team roster and relevant training completed to date.</li> <li>• Agencies may also include copies of executive communications such as:</li> </ul>	<p><b>Executive commitment</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Agency demonstrates a historic culture of performance.</li> <li><input type="checkbox"/> Chief executive has communicated his/her commitment to both a performance management culture and performance confirmation to employees.</li> <li><input type="checkbox"/> Senior leadership has been involved in the development of the agency’s current performance management system and is preparing for confirmation.</li> <li><input type="checkbox"/> Agency has formed a confirmation team composed of a cross section of the agency. Senior leadership has given the team adequate resources, training, tools and time to complete the project.</li> </ul>

<b>Preliminary Application Submittal Table</b>	
<b>Questions</b>	<b>Evaluation Standards</b>
<ul style="list-style-type: none"> <li>• Notes or minutes from face-to face meetings conducted with employees and director.</li> <li>• Letters, email</li> <li>• Posters</li> <li>• Newsletters</li> <li>• Intranet pages</li> <li>• Notes or minutes from staff meetings</li> </ul>	
<b>2. Readiness assessment</b>	
<p><b>Readiness assessment</b>  <b>Organizational performance planning</b>                      How has your leadership promoted and supported organizational performance planning and results?</p> <ol style="list-style-type: none"> <li>1. Our agency’s vision, mission and values are clearly stated and communicated to all employees.</li> <li>2. Our agency has a strategic plan with business goals, objectives and strategies in place.</li> <li>3. Our agency has performance measures in place for each business line.</li> <li>4. Our agency has a process for monitoring and reporting performance on:                             <ol style="list-style-type: none"> <li>a. Strategic plan and business plan goals</li> <li>b. Organizational performance levels</li> </ol> </li> <li>5. Our agency integrates the performance management system throughout the organization through activities such as Results WA, balance scorecard, WSQA and other types of assessments (e.g., internal and external audits).</li> </ol>	<p><b>Readiness assessment</b>  <b>Organizational performance planning</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Agency vision, mission and values are clearly stated and communicated to all employees.</li> <li><input type="checkbox"/> Agency has a strategic plan with business goals, objectives and strategies in place.</li> <li><input type="checkbox"/> Agency has performance measures in place for each business line.</li> <li><input type="checkbox"/> Agency has a process for monitoring and reporting performance on:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Strategic plan and business plan goals</li> <li><input type="checkbox"/> Organizational performance levels</li> </ul> </li> <li><input type="checkbox"/> Agency integrates the performance management system throughout the organization through activities such as Results WA, balance scorecard, WSQA and other types of assessments (e.g., internal and external audits).</li> </ul>

<b>Preliminary Application Submittal Table</b>	
<b>Questions</b>	<b>Evaluation Standards</b>
<p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• A copy of your strategic plan</li> <li>• A copy of your business plan (if applicable)</li> <li>• A copy of your performance measures for each business line in the agency</li> <li>• Reports on business goals and performance measure progress</li> <li>• WSQA application and feedback report (if applicable)</li> <li>• Baldrige application and feedback report (if applicable)</li> </ul>	
<b>3. Roles &amp; responsibilities</b>	
<p><b>Roles &amp; responsibilities</b>                      How do your current assigned roles and responsibilities support your employee performance management program?</p> <ul style="list-style-type: none"> <li>• We have roles and responsibilities currently assigned for:                             <ul style="list-style-type: none"> <li>○ Executive management</li> <li>○ Human resources</li> <li>○ Supervisors</li> <li>○ Employees</li> </ul> </li> <li>• Each person with an assigned role is aware of the standards and expectations of assigned roles.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Copies of policies, procedures or other communication that outline roles and responsibilities.*</li> </ul> <p>* Please note these may also be found in:</p> <ul style="list-style-type: none"> <li>• Executive directives</li> </ul>	<p><b>Roles &amp; responsibilities</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Roles and responsibilities are currently assigned for:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Executive management</li> <li><input type="checkbox"/> Human resources</li> <li><input type="checkbox"/> Supervisors</li> <li><input type="checkbox"/> Employees</li> </ul> </li> <li><input type="checkbox"/> Each person with an assigned role is aware of standards and expectations of assigned roles.</li> <li><input type="checkbox"/> Role and responsibility assignments thoroughly address:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Executive management responsibility for leadership and oversight.</li> <li><input type="checkbox"/> Human resource responsibility for monitoring, reporting and coaching.</li> <li><input type="checkbox"/> Supervisor responsibility for:                                     <ul style="list-style-type: none"> <li><input type="checkbox"/> Performance planning</li> <li><input type="checkbox"/> Feedback, coaching and evaluation</li> </ul> </li> </ul> </li> </ul>



<b>Preliminary Application Submittal Table</b>	
<b>Questions</b>	<b>Evaluation Standards</b>
<ul style="list-style-type: none"> <li>• Management accountability</li> <li>• Policies and procedures</li> <li>• Communication plan</li> <li>• Training plan</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Recognizing accomplishment</li> <li><input type="checkbox"/> Taking corrective action when necessary</li> <li><input type="checkbox"/> Employee responsibility for:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Participating in performance planning.</li> <li><input type="checkbox"/> Achieving performance/competency targets.</li> <li><input type="checkbox"/> Seeking feedback and clarification when necessary.</li> <li><input type="checkbox"/> Correcting poor performance when necessary.</li> </ul> </li> </ul>
<p>What are the most significant gaps?</p> <p>Include as attachments a copy of your action plan (detailing who, what and when)</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Completed gap analysis</li> <li><input type="checkbox"/> Action plan for addressing identified gaps (detailing who, what and when)</li> </ul>
<b>4. Management accountability</b>	
<p><b>Management accountability</b></p> <p>How are your managers and supervisors held accountable for consistent, equitable and transparent administration of your performance management program?</p> <ol style="list-style-type: none"> <li>1. Consequences are clear for failure to meet standards and expectations for management roles.</li> <li>2. Our managers and supervisors clearly understand the consequences for failure to meet performance management responsibilities.</li> <li>3. Administrative processes are in place for tracking manager and supervisor compliance with performance management standards and practices.</li> </ol>	<p><b>Management accountability</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Clear accountability standards and practices exist for managers and supervisors.</li> <li><input type="checkbox"/> Managers and supervisors clearly understand consequences for failure to meet performance management responsibilities.</li> <li><input type="checkbox"/> Administrative process is in place for tracking manager and supervisor compliance with performance management standards and practices.</li> </ul>

<b>Preliminary Application Submittal Table</b>	
<b>Questions</b>	<b>Evaluation Standards</b>
<p>Include as attachments copies of policies, procedures or other communication that outline accountability standards and practices.*</p> <p>* Please note these may also be found in the sections on executive directives, management accountability, policies and procedures, communication plan and training plan.</p>	
<p>What are the most significant gaps?</p> <p>Include as attachments your action plan (detailing who, what and when)</p>	<p><input type="checkbox"/> Completed gap analysis</p> <p><input type="checkbox"/> Action plan for addressing identified gaps (detailing who, what and when)</p>
<b>5. Policies and procedures</b>	
<p><b>Policies and Procedures</b></p> <p>How do your current policies and procedures support your performance management program?</p> <ol style="list-style-type: none"> <li>1. Our employee performance management policy:               <ol style="list-style-type: none"> <li>a. Describes our executive commitment to employee performance management.</li> <li>b. Describes the linkage between employee performance management, organizational performance management and accomplishment of organizational goals.</li> <li>c. Describes the principles and purpose of the employee performance management system.</li> <li>d. Describes roles and responsibilities of various staff relative to employee performance management.</li> </ol> </li> </ol>	<p><b>Policies and procedures</b></p> <p><b>Policy – content</b></p> <p><b>Employee performance management (EPM) policy</b></p> <p><input type="checkbox"/> Describes executive commitment to EPM.</p> <p><input type="checkbox"/> Describes linkage between EPM, organizational performance management and accomplishment of organizational goals.</p> <p><input type="checkbox"/> Describes the principles and purpose of the EPM system.</p> <p><input type="checkbox"/> Describes roles and responsibilities of various staff relative to EPM.</p> <p><b>Policy – Process</b></p> <p><input type="checkbox"/> Describes process for drafting policies and procedures.</p> <p><input type="checkbox"/> Describes process for getting feedback and input.</p> <p><input type="checkbox"/> Describes process for communicating new/revised policies and procedures.</p>

<b>Preliminary Application Submittal Table</b>	
<b>Questions</b>	<b>Evaluation Standards</b>
Include as attachments: <ul style="list-style-type: none"> <li>• Copy of current Employee Performance Management (EPM) policy</li> <li>• Procedures for developing and communicating policies and procedures</li> </ul>	
What are the most significant gaps?  Include as attachments your action plan (detailing who, what and when)	<input type="checkbox"/> Completed gap analysis <input type="checkbox"/> Action plan for addressing identified gaps (detailing who, what and when)
<b>6. Communication strategy</b>	
<b>Communication strategy</b> What is your internal communication strategy during development of your employee performance management program?  Your response should describe your communication strategy, including: <ul style="list-style-type: none"> <li>• Key themes you intend to communicate to managers/supervisors.</li> <li>• Key themes you intend to communicate to employees.</li> <li>• What are the significant communication risks that you will need to address moving forward?</li> <li>• What are your contingency plans for eliminating misunderstandings and destructive myths?</li> </ul> Include as attachments: <ul style="list-style-type: none"> <li>• Your action plan (detailing who, what and when)</li> <li>• Copies of communication so far</li> </ul>	<b>Communication strategy</b> <input type="checkbox"/> Completed risk analysis <input type="checkbox"/> Action plan for addressing identified risks (detailing who, what and when), which includes: <ul style="list-style-type: none"> <li><input type="checkbox"/> Involvement of executive management, human resources, supervisors and employees</li> <li><input type="checkbox"/> Targeted communication to managers/supervisors</li> <li><input type="checkbox"/> Targeted communication to employees</li> <li><input type="checkbox"/> Communication throughout agency, across all work units and locations,</li> <li><input type="checkbox"/> Use of both formal and informal means of communication</li> <li><input type="checkbox"/> Linkage with planned training</li> <li><input type="checkbox"/> Regular updates</li> </ul>

<b>Preliminary Application Submittal Table</b>	
<b>Questions</b>	<b>Evaluation Standards</b>
<p><b>External stakeholders</b>                      What is your strategy for communicating with key external stakeholders (e.g., boards, legislators, regulators and media) during development of the program?                       Your response should describe:</p> <ul style="list-style-type: none"> <li>• How you plan to communicate your intent to implement a performance incentive program with external clients and customers.</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Your action plan (detailing who, what and when)</li> <li>• Copies of communication so far</li> </ul>	<p><b>External stakeholders</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> External stakeholder communication action plan (detailing who, what and when)</li> </ul>
<b>7. Training &amp; orientation</b>	
<p><b>Training &amp; development strategy</b>                      How does your training and development strategy support your performance management culture?</p> <ol style="list-style-type: none"> <li>1. We have demonstrated executive commitment to staff training, including:                             <ol style="list-style-type: none"> <li>a. Financial resources</li> <li>b. Release time</li> </ol> </li> <li>2. We have established training requirements for:                             <ol style="list-style-type: none"> <li>a. Senior leaders and managers</li> <li>b. Supervisors</li> <li>c. Employees</li> <li>d. New supervisors</li> <li>e. New employees</li> </ol> </li> </ol>	<p><b>Training &amp; development strategy</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Demonstrated executive commitment to staff training, including:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Financial resources</li> <li><input type="checkbox"/> Release time</li> </ul> </li> <li><input type="checkbox"/> Established training requirements for:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Senior leaders and managers</li> <li><input type="checkbox"/> Supervisors</li> <li><input type="checkbox"/> Employees</li> <li><input type="checkbox"/> New supervisors</li> <li><input type="checkbox"/> New employees</li> </ul> </li> <li><input type="checkbox"/> Core training requirements for managers and supervisors that include:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Supervisor’s essentials or equivalent</li> </ul> </li> </ul>

<b>Preliminary Application Submittal Table</b>	
<b>Questions</b>	<b>Evaluation Standards</b>
<p>3. We have core training requirements for managers and supervisors that include:</p> <ul style="list-style-type: none"> <li>a. Supervisor’s essentials or equivalent</li> <li>b. Performance planning and development</li> </ul> <p>4. We have a monitoring and reporting system that:</p> <ul style="list-style-type: none"> <li>a. Tracks all employees</li> <li>b. Reports compliance to executive management</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Your agency training plan, detailing required training</li> <li>• Your monitoring reports, detailing current compliance with training requirements</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> PDP training</li> <li><input type="checkbox"/> Monitoring and reporting system that:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Tracks all employees</li> <li><input type="checkbox"/> Reports compliance to executive management</li> </ul> </li> <li><input type="checkbox"/> Demonstrated 90% compliance with required training</li> </ul>
<p>What are the most significant gaps?</p> <p>Include as attachments your action plan (detailing who, what and when)</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Completed gap analysis</li> <li><input type="checkbox"/> Action plan for addressing identified gaps (detailing who, what and when)</li> </ul>
<b>8. PDP implementation</b>	
<p><b>PDP implementation Practices</b></p> <p>How do your performance planning and evaluation practices support your performance management program?</p> <p>Your response should describe standards and expectations for:</p> <ul style="list-style-type: none"> <li>• Conducting job analysis and writing position description forms (PDFs).</li> <li>• Setting expectations in the PDPs.</li> <li>• Providing employees with verbal and written feedback.</li> </ul>	<p><b>PDP implementation Practices</b></p> <p><b>PDFs</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Supervisors clearly identify essential job functions and major job duties.</li> <li><input type="checkbox"/> Supervisors clearly identify knowledge, skills, abilities and behaviors needed for successful job performance.</li> </ul> <p><b>PDPs</b></p> <p>Planning components (Parts 1,2 and 3):</p>

<b>Preliminary Application Submittal Table</b>	
<b>Questions</b>	<b>Evaluation Standards</b>
<ul style="list-style-type: none"> <li>• Communicating and explaining organizational performance measures.</li> </ul> <p>Include as attachments a sample of up to 10 completed PDFs and PDPs (plan and evaluation) representing a cross section of employees.</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Supervisors set individual job-related performance expectations that:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Establish standards and expectations for major job duties and special assignments.</li> <li><input type="checkbox"/> Are specific, measurable, action-oriented, realistic and time-oriented (SMART).</li> <li><input type="checkbox"/> Contain position-specific, measurable and observable competencies.</li> <li><input type="checkbox"/> Employee development plans contain training plans for developing and maintaining key knowledge and skills needed for successful job performance.</li> <li><input type="checkbox"/> Employees have the opportunity to provide input.</li> </ul> </li> <li>Evaluation components (Parts 4 and 5):                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Periodic interim reviews conducted to accurately reflect changes to work assignments or special projects.</li> <li><input type="checkbox"/> Supervisors feedback:                                     <ul style="list-style-type: none"> <li><input type="checkbox"/> Distinguishes between unsatisfactory and satisfactory performance.</li> <li><input type="checkbox"/> Links performance results back to performance expectations identified in Part 1 of the PDP.</li> </ul> </li> </ul> </li> </ul>

<b>Preliminary Application Submittal Table</b>	
<b>Questions</b>	<b>Evaluation Standards</b>
<p><b>PDP implementation Process</b>                      How does your PDP process support your performance management program?</p> <ol style="list-style-type: none"> <li>1. Our agency has established time frames and deadlines for completing the PDP.</li> <li>2. Our agency requires use of periodic interim reviews</li> <li>3. Our agency has a monitoring and reporting system that:                             <ol style="list-style-type: none"> <li>a. Tracks all employees</li> <li>b. Reports compliance to executive management</li> </ol> </li> <li>4. Our agency reviews PDPs for quality and improvement.</li> <li>5. Our agency has at least 90% completion/compliance rate for eligible employees on:                             <ol style="list-style-type: none"> <li>a. Performance expectations</li> <li>b. Individual development plans (if applicable)</li> <li>c. Performance evaluations</li> <li>d. Current position descriptions (PDFs)</li> </ol> </li> </ol> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• HR Management Report detailing current completion rates</li> <li>• Copy of current EPM policy and procedure (see Policies)</li> </ul>	<p><b>PDP implementation Process</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Agency has used the PDP to plan and appraise performance for one or more performance cycles.</li> <li><input type="checkbox"/> Agency has established time frames and deadlines for completing the PDP.</li> <li><input type="checkbox"/> Agency requires use of periodic interim reviews</li> <li><input type="checkbox"/> Agency has monitoring and reporting system that:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Tracks all employees.</li> <li><input type="checkbox"/> Reports compliance to executive management.</li> </ul> </li> <li><input type="checkbox"/> Agency reviews PDPs for quality and improvement.</li> <li><input type="checkbox"/> Agency has at least 90% completion/compliance rate for:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Performance expectations</li> <li><input type="checkbox"/> Individual development plans (if applicable)</li> <li><input type="checkbox"/> Performance evaluations</li> <li><input type="checkbox"/> Current position descriptions (PDFs)</li> </ul> </li> </ul>

<b>Preliminary Application Submittal Table</b>	
<b>Questions</b>	<b>Evaluation Standards</b>
<b>Employee performance management program survey</b>	
<p><b>Readiness assessment</b>  <b>Employee confidence</b>                      How confident are your employees in the agency’s ability to manage performance?                       Your response should describe:</p> <ul style="list-style-type: none"> <li>• Your survey process</li> <li>• Your survey results</li> <li>• Your gap analysis and action plan to get to 60% agreement and 65% overall response rate</li> </ul> <p>Include as attachments:</p> <ul style="list-style-type: none"> <li>• Completed CPC Employee Performance Management Program Survey</li> <li>• Completed gap analysis</li> <li>• Completed action plan (detailing who, what and when)</li> </ul>	<p><b>Readiness assessment</b>  <b>Employee confidence</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Completed CPC Employee Performance Management Program Survey.</li> <li><input type="checkbox"/> Survey administered to all eligible agency employees.</li> <li><input type="checkbox"/> Results are tabulated separately between management and employees.</li> <li><input type="checkbox"/> 60% or more accumulative average percent positive score (i.e., agree and strongly agree).</li> <li><input type="checkbox"/> 65% or greater overall response rate.</li> <li><input type="checkbox"/> Completed gap analysis identifying strengths and challenges.</li> <li><input type="checkbox"/> Completed action plan addressing weak or low scoring areas.</li> </ul>
<p>What are the most significant gaps?                       Include as attachments your action plan (detailing who, what and when)</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Completed gap analysis                      Action plan for addressing identified gaps (detailing who, what and when)</li> </ul>
<b>9. Funding approach</b>	
None at this point.	None at this point.
<b>10. Monitoring &amp; measuring success</b>	
None at this point.	None at this point.



**Submittal Checklist**

**Attachment B**

Please be sure to complete the following items before submitting your preliminary application:

<input checked="" type="checkbox"/>	Checklist Item
<input type="checkbox"/>	<p><b>Executive management briefing done</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Executive management and HR staff have received a briefing on CPC program from SHR.</li> </ul>
<input type="checkbox"/>	<p><b>Confirmation work group formed</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Your executive management has appointed a project manager and convened an internal work group.</li> <li><input type="checkbox"/> The work group has been oriented and trained in the confirmation process.</li> </ul>
<input type="checkbox"/>	<p><b>Readiness assessment and gap analysis conducted</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The work group has completed a readiness assessment and gap analysis using the CPC: <ul style="list-style-type: none"> <li><input type="checkbox"/> Preliminary readiness assessment</li> <li><input type="checkbox"/> Employee performance management program survey</li> </ul> </li> <li><input type="checkbox"/> The project manager and work group have evaluated the agency's strengths relative to the confirmation criteria and survey results.</li> </ul>
<input type="checkbox"/>	<p><b>Baseline requirements met</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The project manager and work group have evaluated the agency's strengths relative to the confirmation criteria and have determined in consultation with SHR that baseline requirements are met.</li> </ul>
<input type="checkbox"/>	<p><b>Preliminary application completed</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The project manager and work group have prepared the preliminary application.</li> <li><input type="checkbox"/> The preliminary application demonstrates our agency meets all evaluation standards.</li> </ul>
<input type="checkbox"/>	<p><b>Submit application</b> Submit your application to:</p> <p style="margin-left: 40px;">Olivia Huynh, Employee Performance and HR Development Coordinator OFM, State Human Resources Division 128 10<sup>th</sup> Ave SW RAAD Building Olympia, WA 98504-43113</p>