

CHARTER

Title: Core Competency Identification & Behavioral Descriptors for all State Employees

SCOPE

Sponsor: Jessica Schuster

Objective: Research and Identify core competencies for all employees

Background: HRD is moving the HR role forward and modernizing the class plan including establishing core competencies. Core competencies will be used for advertising, selection and in rating performance.

Customers/Stakeholders: Agencies, Boards and Commissions Executives and HR staffs

Customer Requirements/Expectations:

- Recommendation of core competencies for all state employees
- Case studies in research, if applicable
- Core competency behavioral descriptions
- Identification of potential development actions/tools for core competencies

Final Deliverable: Written recommendation and presentation of core competencies for all state employees including behavioral descriptions and provide recommendations for potential developmental tools

Final Deadline: January 9, 2012

Reviews and Approvals Required

Interim Deliverable	Review	Approval	Reason
Core Comps Established	Group	Jessica	Before progressing
Final Report	Cindy	Jessica	To complete project

Assumptions

Assumption	Confirmed	Rejected
All State of Ohio employees serve a common set of internal and external customers/stakeholders		

A common set of core behavioral competencies is appropriate for all State of Ohio Employees		
The recommended core behavioral competencies will be complemented by additional agency behavioral and technical competencies that are specific to each position		
Communication with project sponsor and approval of project milestones will be timely		
Time spent on building core competencies will be valuable to the State		

RESOURCES

Team Assignments

Project Leader: Keiva Wyatt

Project Team: Tom Walker, Mike Fountain, Cheryl Reeves, Michelle Cunningham, Christine Bennett, Keiva Wyatt

Budget: Time spent by team members, hours of cost TBD

Other Resources: Travel, Library, other states currently using this system

Potential consultants, knowledge experts: ODJFS created comp library and other states

MILESTONE LIST

Milestones

Milestone	Estimated Hours
Core competencies established	100
Behavior Descriptors	70
Developmental tools/actions	30

COMMUNICATION PLAN

Who?	Needs to Know What?	When?	In What Form?
Jessica	Core Competencies	June 1	meeting
Jessica	Behavioral Indicators	September 7	meeting

Phyllis	Evaluation Tool	January 5	meeting
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RISK MANAGEMENT PLAN

Risk	Probability	Impact	Contingency Plan/ Individual Responsible
Competencies will be less meaningful for agencies without a clear vision of agency goals and strategies for goal attainment	Medium	Large	Agency Integration
Not a clear enough direction, time wasted	Large	Large	Consistent Contact with Project Sponsor
Availability of project team members to meet due to both routine and unexpected work obligations/demands	Large	Large	Consistent Contact among all team members
Project deliverables are not reviewed or utilized properly	Large	Large	Department of Administrative Services, Agencies

EVALUATION PLAN

Desired Outcome	Evaluation Method	Success Measurement
Success/Applicable Recommendation	Project Sponsor	Adoption of core competencies

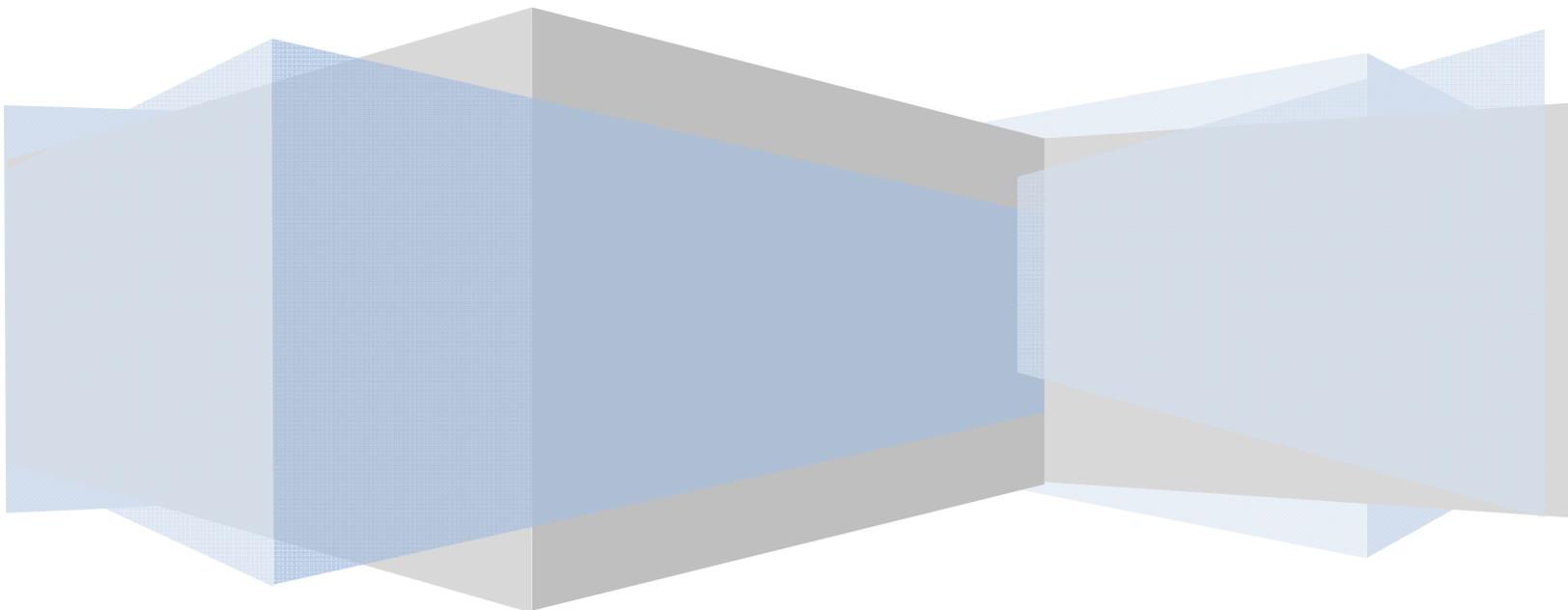
Ohio Certified Public Manager Program

Statewide Behavioral Core Competencies

**Recommendations for Core Behavioral
Competencies Required of All State of Ohio
Employees**

Project Team

**Christine Bennett, Michelle Cunningham, Michael Fountain,
Cheryl Reeves, Thomas Walker, Keiva Wyatt**



Statewide Behavioral Core Competencies

Table of Contents	Page
Project Summary	2
Project Vision	3
Project Goal	3
Project Action and Execution	4
Project Information Gathering	6
Project Analysis	7
Project Benefits	10
References	12

Attachments
Recommended Core Competencies/Indicators Grid
Recommended Tools for Professional Development
Project Charter
OCPM Project Summary
Planning Tools

Project Summary

The State of Ohio strives to provide customers with essential services of the highest quality while operating under an \$8 billion budgetary shortfall.

Implementation of a performance management framework through the utilization of standardized workforce competencies helps achieve this goal by providing for the following:

- Market approach to recruit and retain employees;
- Reduced employee turnover with better management of human capital;
- Reduced costs through the elimination of duplicative processes and internal services;
- Increased productivity and quality;
- Alignment with State and individual agency's mission and values;
- Increased collaboration between agencies;
- A cohesive culture of continuous performance improvement across state agencies.

Upon implementation of a performance management framework, each agency will have a tool in the form of core competencies and indicators to help guide evaluation of employee performance measured to the State and the agency's expectations. The recommended core competencies/indicators grid is a resource for assisting state agencies in understanding, communicating, and developing additional agency-specific behavioral and technical performance expectations. In order to create meaningful and

Statewide Behavioral Core Competencies

sustainable gains in effective and efficient customer-focused service delivery, the State of Ohio must commit to communicating, promoting, and supporting agencies' missions and goals on an ongoing basis.

Project Vision

In order to reduce costs, increase efficiencies, and maintain the highest levels of customer focused service delivery, the State of Ohio is moving toward the establishment of a performance management based compensation system. An essential component of the modernization of the current compensation system is the establishment of unifying core competencies and behavioral indicators across all State agencies, boards, and commissions. These unifying core competencies are intended to be complemented by additional agency-specific and/or position-specific behavioral and technical competencies.

Project Goal

The short and long term goal of the project is to identify a base set of core competencies and behavioral and technical competencies specific to each position that will be utilized in the employee selection process as well as in measuring, evaluating, and rewarding the individual employee for their commitment to continuous learning, and performance improvement.

Project Action and Execution

The assignment presented on April of 2011 consisted of determining core competencies, creating behavioral indicators, designing an evaluation piece, and determining executive compensation. After we had reviewed and begun working on the project, it was modified two weeks later to consist of only determining core competencies, designing behavioral indicators, and making training and development recommendations. The team determined that searching for other states with a current performance based evaluation system was the best place to start our research given the fact that the project sponsor had not met with us yet.

Our first meeting with our project sponsor was June 1, 2011. At that meeting we were also made aware that there would be some changes within Department of Administrative Services. One of our sponsors would be retiring and the roles within the Department of Classification & Compensation would be changing, resulting in a shifting in the roles of the sponsors. Given the uncertainty at the Department of Administrative Services, it became apparent that the team would be leading the project without a lot of the sponsor's guidance about what they were seeking as a work product. Therefore, the group determined that we would create what we thought would help the sponsors based on the information we had and they could review the deliverables and provide guidance based on what we had provided to them.

The group established its own deadlines, which had the unanticipated effect of moving the project forward more efficiently. Often, when a deadline is artificially imposed

Statewide Behavioral Core Competencies

members wait until the deadline approaches to complete the tasks. In addition, deadlines set by others often fail to match up with the reality of the project. By setting its own goals, the group was able to establish timelines that made sense for the project and understand the effect of those deadlines on the overall project. While the lack of direction about the desired deliverables began as an obstacle, it allowed the group freedom to establish an appropriate scope and explore a wide range of options and select the ones it thought was best. This freedom allowed the group to propose creative solutions to the sponsor, and then revise them based on sponsor feedback. Based on the research we conducted, meetings with our sponsor, and a review of our proposed deliverables, the group and sponsor made the following determinations about the scope of the project.

Project Scope:

- Provide the Department of Administrative Services (DAS) Human Resource Division (HRD) with recommendations for:
 - Core behavioral competencies
 - Behavioral descriptors/indicators
 - Potential employee developmental tools

Out of Project Scope:

- Recommendations for position specific behavioral and technical core competencies
- Performance management system development
- Performance evaluation tool

- Recommendations for performance management implementation

Project Information Gathering

Without a request from the sponsor to include specific performance measures, the group conducted a review of states that used core competencies. Performance measures outline the duties/tasks, responsibilities, expected behaviors, goals, and objective measurements for each job. The measures link what the employee does to the rest of the department, and to the agency. A performance management system gives all state departments and offices the opportunity to align their goals and objectives with the goals and objectives of the State of Ohio.

The team found a few states that had lists of core competencies. The State of Georgia had the most comprehensive set, using five state wide core competencies, two additional leadership state wide core competencies, and an additional eleven behavioral competencies. The information provided by the State of Georgia was extensive, starting with initial implementation and going all the way through e-performance in the PeopleSoft system, the same end goal that the State of Ohio has for its performance based pay system. The State of Colorado has a list of four core competencies but breaks down those into detailed subcategories. Based on the research collected, the group chose a cross section of competencies from those currently being used by other states.

Statewide Behavioral Core Competencies

To start the project, each member of the team pulled together seven core competencies that we determined would be the most valuable as a basis for the State to use statewide and then each agency could add or take away any they felt did not meet their agency's mission. Based on the research, the group then came to consensus on the seven most valuable competencies and our definition for each (see attached). The seven core competencies were selected based on statewide applicability, relevance to positions in the State of Ohio, and ease of use. We met with our project sponsors on September 7, 2011 with our comprehensive list of seven core competencies. After that meeting the sponsors indicated the only revision they suggested was that they selected five core competencies out of the seven. While the sponsor did not select the accountability and ethics competency, the group felt ethics should be included in its work product. The group proposed providing six core competencies to the sponsor, leaving the sponsor freedom to select which ones to ultimately use. The sponsor agreed to this approach. With our approved list of core competencies we then created the behavioral indicators that applied to each competency. The research we conducted in the first phase of the project was particularly helpful in developing these indicators.

Project Analysis

The attached deliverables provide tools for the implementation of a performance management program. Our research indicates that a performance management program can have many positive benefits if implemented properly. The tools provided as attachments to this report are essential elements in a performance management

Statewide Behavioral Core Competencies

plan. However, moving to this system requires a commitment on the part of the State to ensure a successful rollout of the program.

A key organizational factor that affects the conditions under which performance management is successful is the degree to which the employees know what to do and who they are serving. In order for performance management to be successful, the employees must be familiar with the agency's objectives and goals. Successful programs offer occasion for real feedback from management to individuals outlining their progress and identifying improvement opportunities throughout the year. In successful programs, employees are held accountable and this accountability is transparent to the entire agency. This can be accomplished through objective, fact-based performance evaluation and providing opportunities for constructive feedback to employees regarding their contribution to the agency and ways to maximize it. Agency employees must also see that poor performers are being dealt with and not just pushed through out of avoidance of managerial responsibility. The program also requires continuous training for new and existing managers so they can objectively and fairly deal with high performers as well as poor performers. Often, a program is put in place without measuring the existing outcomes and many agencies get busy doing other things and let the program run on auto-pilot without appropriate additional training.

Statewide Behavioral Core Competencies

Project Results

Performance management can succeed in public entities only when the political climate is right, employees accept it, managers are trained to implement it fairly and consistently, and agencies monitor it regularly.

Strengths

- Clarifies Objectives
- Successful Planning Tool
- Employees are held accountable/Better Transparency
- Improves productivity and efficiency
- Improves communication between management and employees

Weaknesses

- Lack of specifically measurable objectives
- Unionized Employees
- Requires continuous training for new and existing managers
- Resistance from public servants and politicians

Opportunities

- Links competencies to the agency's mission, vision, and goals
- Assess and target skills and competency gaps
- Helps identify which behaviors most impact performance and success
- Focuses training and development plans to address competency gaps

Threats

- Lack of buy in
- Resistance from managers

- Resistance from public servants
- Resistance from politicians

Project Benefits

There are three primary benefits to this project. First, the project's research indicates there are many benefits of performance management when it is appropriately administered. They include improving the setting of agency and individual objectives; improving the monitoring of employee performance; greater emphasis on planning; improving management evaluation skills and involvement with employees; improving transparency within the organization (not necessarily outside); and improving efficiency and effectiveness. Performance management provides a mechanism to clarify objectives. It has proved to be a useful tool for setting priorities and goals and can clarify what results are expected from the public sector. Performance management will allow for a public sector to engage in a strategic plan which includes performance goals and initiatives. These initiatives can provide more information about the government and the goals and the actual progress and results in achieving them if it is successfully implemented; thereby giving more transparency to the public it serves. Performance management is also a great tool for planning. It helps in the management of the budget and allows for the organization to move towards outcome focus in policy design and delivery. This allows for a greater emphasis on long term planning and normally requires a three to five year strategic plan. This makes it easier to plan the spending of

Statewide Behavioral Core Competencies

funds available to achieve the goals. It can improve management and transparency of the public sector.

In addition to identifying the benefits of performance management, the group identified multiple states that have done successfully implemented a performance management program. This provides the State with support for moving forward.

Second, the group's research provides the State with implementation strategies to ensure a successful roll-out, summarized in the Project Analysis section of this report.

Finally, the group's deliverables are concrete tools the State will use when it rolls out the project. Specifically, the Core Competencies/Indicators Grid provides the framework for measuring employee performance. The Tools for Professional Development is a concise resource for managers to use to further the professional development of their staff.

Statewide Behavioral Core Competencies

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Statewide Behavioral Core Competencies

Recommendations for Core Behavioral Competencies Required of All State of Ohio Employees



Planning Tools Utilized for Project Management:

Affinity Diagram

Each team member researched, identified, and presented to the project team the core behavioral competencies needed of every State of Ohio employee. The project team then brainstormed and reached consensus on which competencies could be eliminated, grouped together, or stood alone. After reaching consensus, the team worked on definitions and the behavioral indicators for each core competency by following the same process.

Prioritization Matrices

This planning tool was used in conjunction with the affinity diagram to narrow down options through a systematic approach of comparing choices by selecting, weighting, and applying criteria. This allowed the team to focus on the best direction and increased the chances of coming up with a final deliverable that would be successful.

Communication

- Respectfully receives the ideas, thoughts and feelings of others
- Accurately exchanges information in a clear and concise manner both orally and in writing
- Uses all conventional modes of transmitting and receiving information

Exceptional Performer	Successful Performer	Unsatisfactory Performer
Consistently delivers accurate, clear, and concise messages that inform and frequently persuade audiences to take action	Delivers accurate, clear, and concise messages orally and/or in writing to effectively inform an audience	Inability to consistently deliver accurate, clear, and concise messages orally and/or in writing to effectively inform an audience
Assists others in comprehending written and oral information and directions so they can take appropriate action	Comprehends written and oral information and direction and takes appropriate action	Misinterprets written and/or oral information and directions resulting in inappropriate action
Encourages an open exchange of ideas and different points of view; delivers the truth even when it is unwelcome	Communicates intentions, ideas and feelings openly and directly	Tends to conceal and/or withhold information, unwilling to share ideas
Allows even the most reluctant person to express views by being open and accepting of other's ideas	Actively listens to co-workers and customers to gain a better understanding of what they are saying	Demonstrates an unwillingness to listen to others; acts without considering other people's views and insights
Demonstrates an ability to recognize when others are having difficulty understanding messages and adapts style appropriately	Listens attentively, asks questions to confirm understanding and avoid miscommunications	Inability or reluctance to use different communication styles regardless of audience and/or situation

Results Oriented

- Works hours needed to meet agency goals and appropriately utilizes resources to complete work timely
- Meets work deadlines by being consistently present and punctual
- Sets and achieve goals
- Keeps commitments

Exceptional Performer	Successful Performer	Unsatisfactory Performer
Identifies, establishes, and prioritizes clear specific performance goals; when faced with competing priorities, focuses on the essential and vital goals allocating time and resources accordingly	Establishes clear, specific performance goals, expectations and priorities	Fails to establish ?; Sets unrealistic goals that are either too easy or too difficult to achieve
Recognizes when others have set goals that are not aligned with agency goals and objectives then provides those team members with guidance/coaching	Aligns team efforts with the goals and objectives of the agency	Focuses time, energy and other resources on activities that are not aligned with the agency's objectives
Acts quickly and effectively to resolve problems even in complex and unique situations	Effectively works around typical problems and obstacles to get results	Tends to see problems as someone else's responsibility
Manages own time well and frequently completes tasks early with higher than expected quality	Manages own time well in order to complete assigned tasks on time with high quality	Manages time poorly resulting in late task completion or low quality work
Exceeds commitment to others by frequently delivering work early	Follows through and meets commitments to others by delivering work on time	Inconsistently meets commitments to others
Delivers high quality work on time while conserving resources resulting in cost-savings and improved efficiencies	Utilizes resource as expected resulting in quality work within established budget	Utilizes more resources than necessary to complete a task which results in being over budget

Customer Focus

- Listens and responds effectively to external and internal customer questions and concerns
- Provides courteous, responsive, accessible, and knowledgeable service • Commits to exceeding customer expectations

Exceptional Performer	Successful Performer	Unsatisfactory Performer
Anticipates customer needs; takes ownership of customer issues and actively seeks ways to improve customer service; makes useful improvement suggestions to the appropriate manager or leader	Willingly provides appropriate assistance and useful/accurate information to meet customer needs; assumes ownership of customer issues and takes appropriate steps to correct problems	Fails to provide assistance and/or information to customers; provides minimal service; fails to identify or solve customer service issues; does not incorporate learning from past mistakes
Attentive to customer needs while maintaining a professional and respectful attitude at all times; leaves a positive impression even in the most difficult situations	Maintains a professional and respectful attitude when serving customers	Fails to serve customers promptly and politely; is not attentive to the customer and/or considerate of their needs; fails to leave a positive impression with customers
Readily available to the customer by being flexible with time and schedule; finds ways to significantly reduce customer wait times; continually identifies ways to improve the accessibility of information and services	Available to respond to customer requests and issues; ensures that customer wait times are reasonable; relays helpful information about available services	Difficult to contact; takes an unreasonably long time responding to customer requests/issues; fails to address customer wait times; fails to relay information about available services
Seeks out, confirms, and understands customer needs/problems; anticipates customer needs; resolves issues before situations require action	Confirms, and understands customer needs/problems; responds completely and accurately; provides needed services/information and resolves customer issues in a timely manner	Fails to confirm or understand customer needs/problems; provides unsatisfactory responses; fails to provide services or information in a timely manner

Holds a strong commitment to exceeding the public's expectations for customer service	Consistently meets the public's expectations for customer service	Inconsistently meets the public's expectations for customer service
Exemplifies success and credibility; inspires others to be more professional	Consistently presents a competent, and professional image to internal and external customers	Occasionally presents an incompetent and unprofessional image to internal and external customers
Continually increases knowledge of how to satisfy and exceed customer expectations; voluntarily offers resources to assist the customer	Seeks training and information to better address the customers' needs; identifies resources that can help the customer	Demonstrates insufficient understanding of customer needs; unable to answer questions in an understandable way; difficulty identifying customer resources

Cooperation/Teamwork

- Works harmoniously with others to accomplish tasks and reach goals by cooperating, responding positively to instructions and procedures and valuing working relationships
- Shares critical information with everyone involved and seeks input as appropriate

Exceptional Performer	Successful Performer	Unsatisfactory Performer
Frequently uses opportunities to work with others as a teaching tool to impart organizational knowledge and help others succeed	Consistently works with others to accomplish goals and tasks	Tends to isolate oneself from others while working toward team goals and objectives
Actively seeks to eliminate cliques and assists in problem solving so that all team members can be included in work processes	Treats all team members with a respectful, courteous, and professional manner; supports team despite different points of view or setbacks	Sometimes treats other team members with hostility or indifference
Leads team members to accomplish shared goals that elevate the team and ensure agency success	Commits to agency goals; finds ways to involve team members in accomplishing agency objectives	Fails to take ownership of personal or team performance; refrains from coaching team members to improve performance
Builds loyalty among other team members across the State: promotes the State as a team	Considers the views of other people when analyzing a situation or developing a solution	Inconsistently demonstrates commitment to teamwork
Provides guidance to others as they work through conflicts and disagreements so they can become better "team players"	Consistently works well with a variety of different people; rarely encounters someone they cannot work effectively with on a task/project	Works well with some people but not others; is not generally regarded as a "team player"
Facilitates communication between people experiencing conflict who have previously been unable to solve problems	Regularly initiates communication to help solve interpersonal/team conflicts and problems	Waits for others to solve interpersonal/team conflicts and problems

Job/Technical Knowledge

- Demonstrates knowledge of job-specific techniques, skills, equipment, procedures, and materials
- Applies knowledge to identify and resolve issues/problems
- Actively seeks to refine current skills and develop additional technical knowledge and skills

Exceptional Performer	Successful Performer	Unsatisfactory Performer
Solves complex problems using advanced technical/professional expertise	Solves problems using basic technical/professional expertise	Inconsistently solves problems due to lack of technical/professional expertise
Identifies opportunities and generates recommendations for the development of new technical applications, products, and services within the agency	Actively seeks continuous learning and new technical developments within the agency	Provides information that is incorrect or incomplete; develops solutions that only partially meet business needs due to gaps in technical/professional knowledge
Extensive understanding of technical job concepts; continuously seeks and applies best practices	Effectively applies technical job concepts to support best practices	Inconsistent support of best practices due to limited knowledge of job concepts
Frequently applies teaching knowledge as a subject matter expert for external and internal customers of the agency	Actively guides others in solving technical issues; accurately explains concepts so that the listener may understand and apply them effectively	Fails to demonstrate technical knowledge related to job function and agency goals

Ethics/Integrity

- Demonstrates a high aptitude for strong values and principles that distinguish right from wrong when making decisions and choosing behaviors
- Understands the impact of violating these values on an organization, self, and others

Exceptional Performer	Successful Performer	Unsatisfactory Performer
Coaches others in modeling organizational values	Models agency values in practice	Unable to identify the values of the agency; fails to consistently model agency values
Analyzes ethical dilemmas and takes appropriate action	Realizes the consequences of not following procedures; reports behavior which does not follow procedures to supervisor	Disregards agency policy for appropriate behavior in the work place; fails to report behavior that does not follow procedure to supervisor
Creates strong support and accountability for ethics	Can be trusted to keep confidences when they should be kept; admits mistakes	Core values and beliefs are inconsistently aligned with those of the agency; fails to admit mistakes

Recommended Tools for Professional Development

Value of Training

Often supervisors ask, "Why should I provide training to my staff?" There are many reasons agencies provide training to their employees:

- To foster growth and development
- Provide opportunities for employees to accept greater challenges
- Aid employees in contributing to the achievement of department goals and the agency's mission and vision
- Build employee self-confidence and commitment
- Produce a measurable change in performance
- Bring about the desired changes that can solve a variety of problems

Benefits of Training

Providing training to an employee benefits both the employer and employee by:

- Improving an employee's performance
- Developing the group and team skills needed to achieve organizational goals
- Giving employees the needed skills and knowledge to complete assigned jobs, duties and tasks
- Motivating employees to achieve higher standards
- Increasing overall efficiency
- Improving customer service, which leads to customer satisfaction
- Preparing employees for promotional opportunities

Recommended Tools for Professional Development

- Decreasing employee turnover, which reduces down time
- Enhancing employee morale, motivation, and creativity
- Enabling managers to reach unit goals and objectives
- Giving employees the tools needed to analyze interpersonal and situational factors that create obstacles to achieving high performance

Tools for Professional Development

- Self-study including on-line learning
- Coaching and mentoring
- Job-aids, including on-line job aids
- Cohort or team learning
- Partner learning
- Project work
- Informal dialogue
- Formal and Informal classroom
- Blended learning (a combination of one or two of the above)