



# Supervising in State Government

Day 2: Strength-Based Performance Management

## Day Two

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### ***STRENGTH-BASED PERFORMANCE MANAGEMENT***



## Learning Objectives for Day 2

Understand 3 phases of performance management process

Develop a strength-based approach to performance management

Learn practical strategies and tools for maximizing performance management

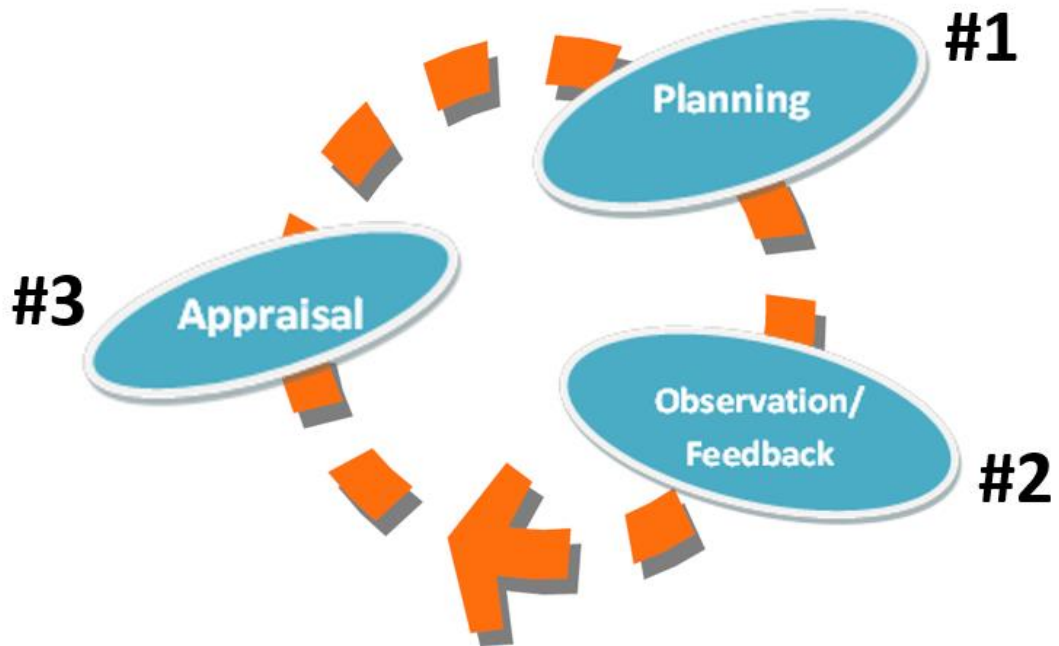
## My Top 3 Learning Goals

1

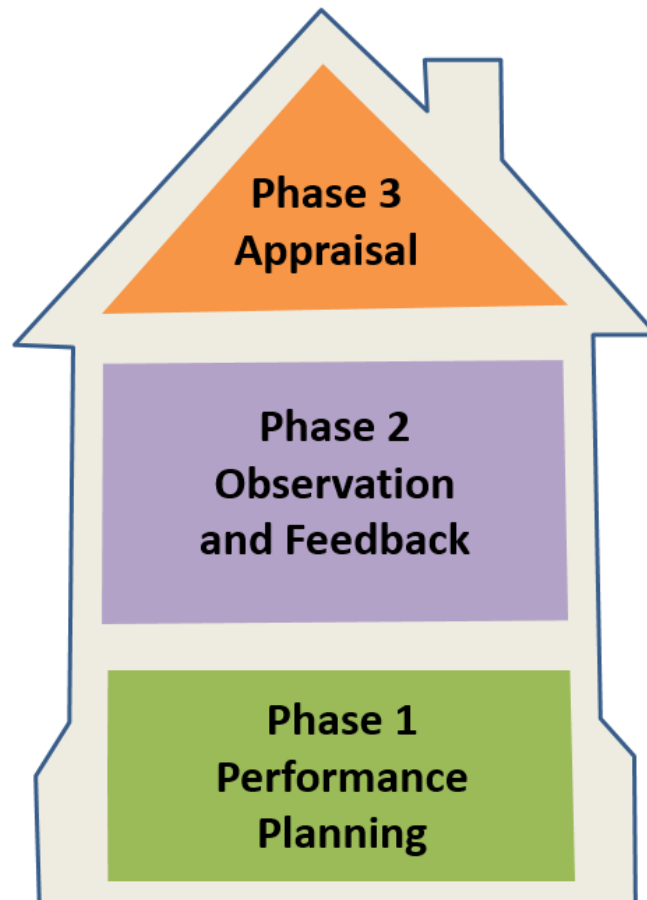
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3

## 3 Phases of Performance Management



## 3 Phases of Performance Management House Model

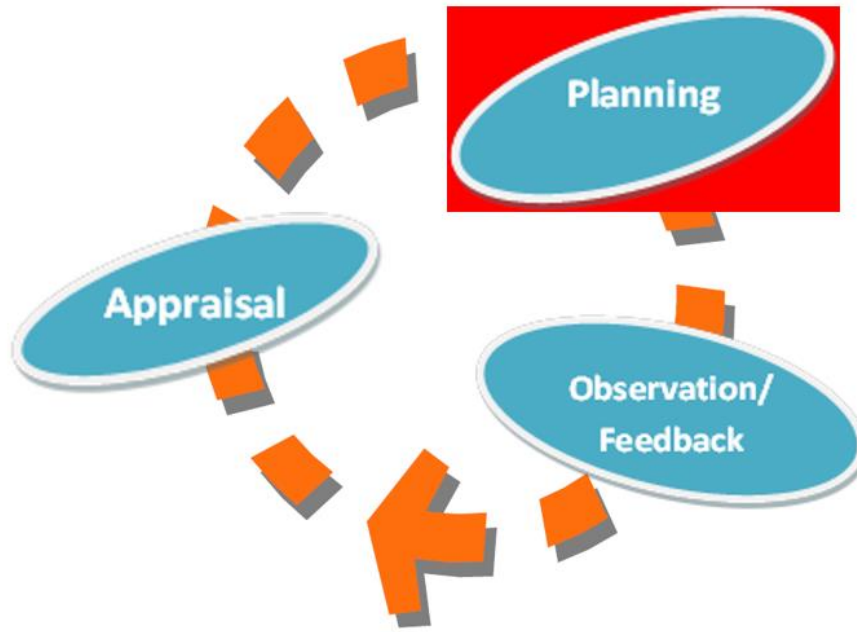


Why don't supervisors regularly do all the phases of the performance management process and/or evaluations?

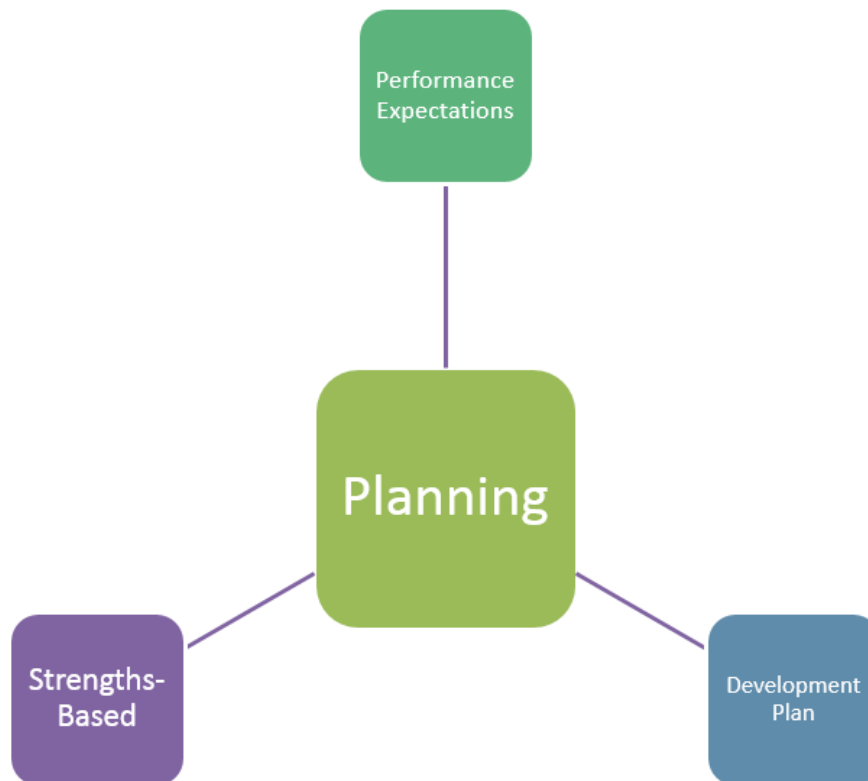
Notes



# Planning




## Planning – 3 Categories



## Phase 1: Supervisor's Preparation

Phase 1: Supervisor's Preparation	
1	Identify major job duties
2	Identify talents and strengths
3	Acknowledge weaknesses as needed
4	Determine employee developmental level in each major job duty
5	Determine performance expectations (use SMART goals)
6	Meet with employee to invite input and generate plan
7	Claim your themes, strengths to supervise
8	Aim employee strengths

Q: Where do you look for employees' major job duties?



## Case Study

Job Duty	Developmental Level
General Expectations	Developmental Level

### Notes





## Planning Step 2: Identifying Strengths

Interests

Rapid Learning

Flow

Glimpses of Excellence

Satisfaction


## Case Study

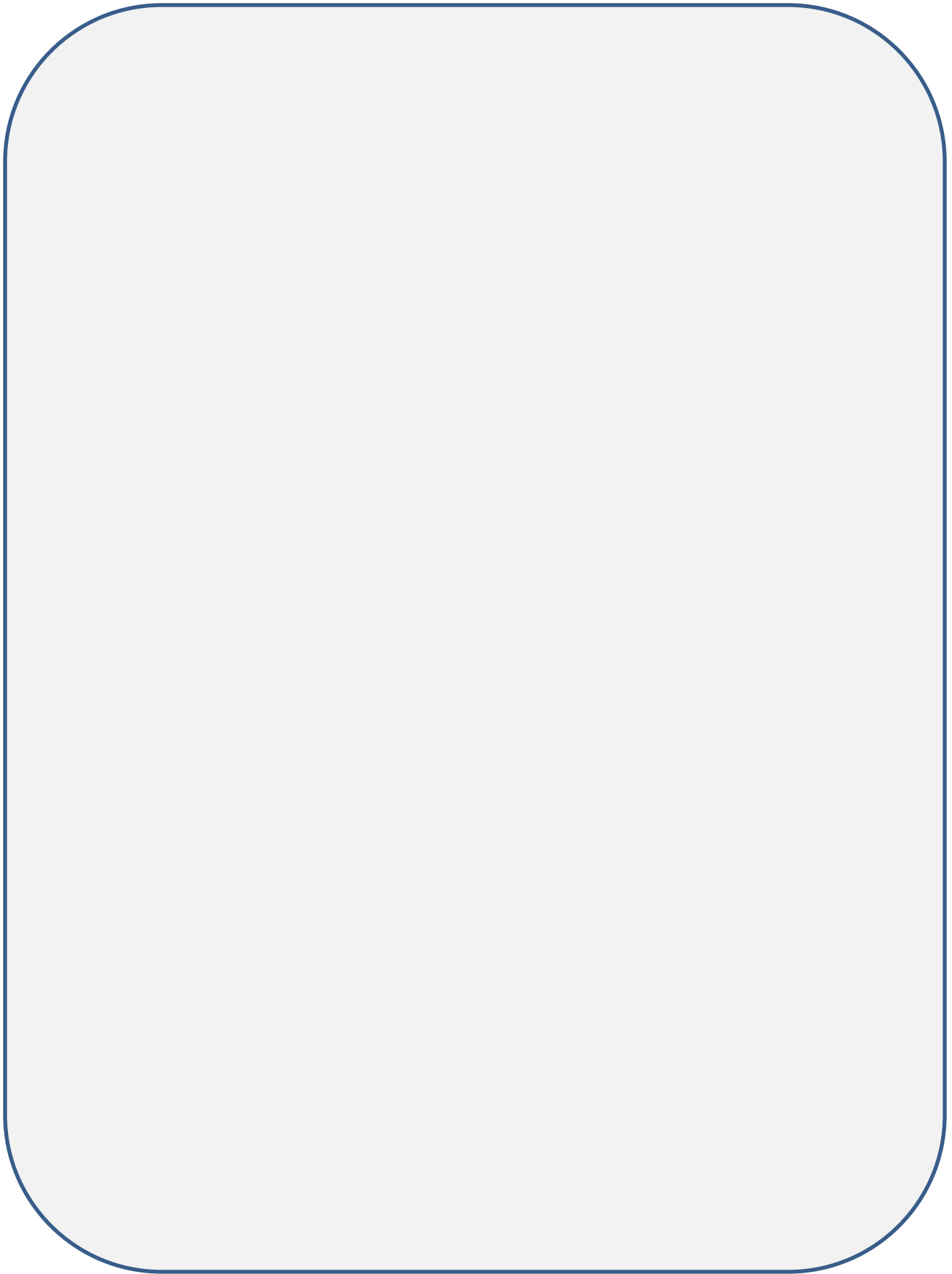
### 3-5 Talents/Strengths


## Case Study

### 1-2 Weaknesses or Challenges that Get in the Way of Excellence


### Notes

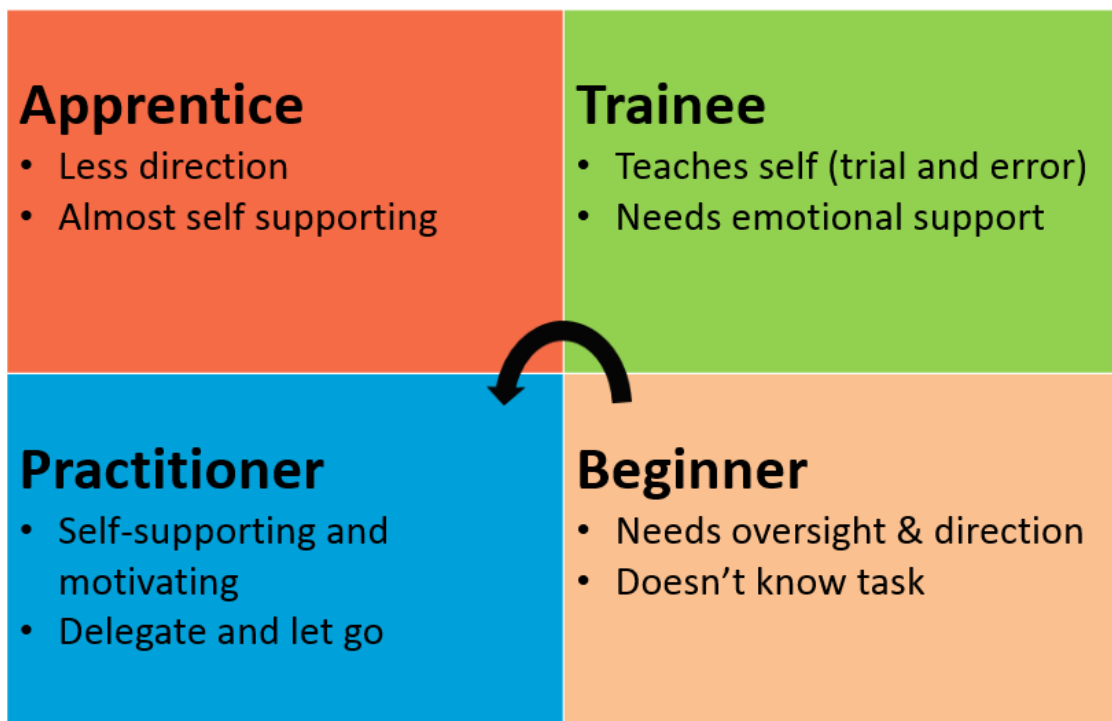




### 3 Factors for Developmental Levels



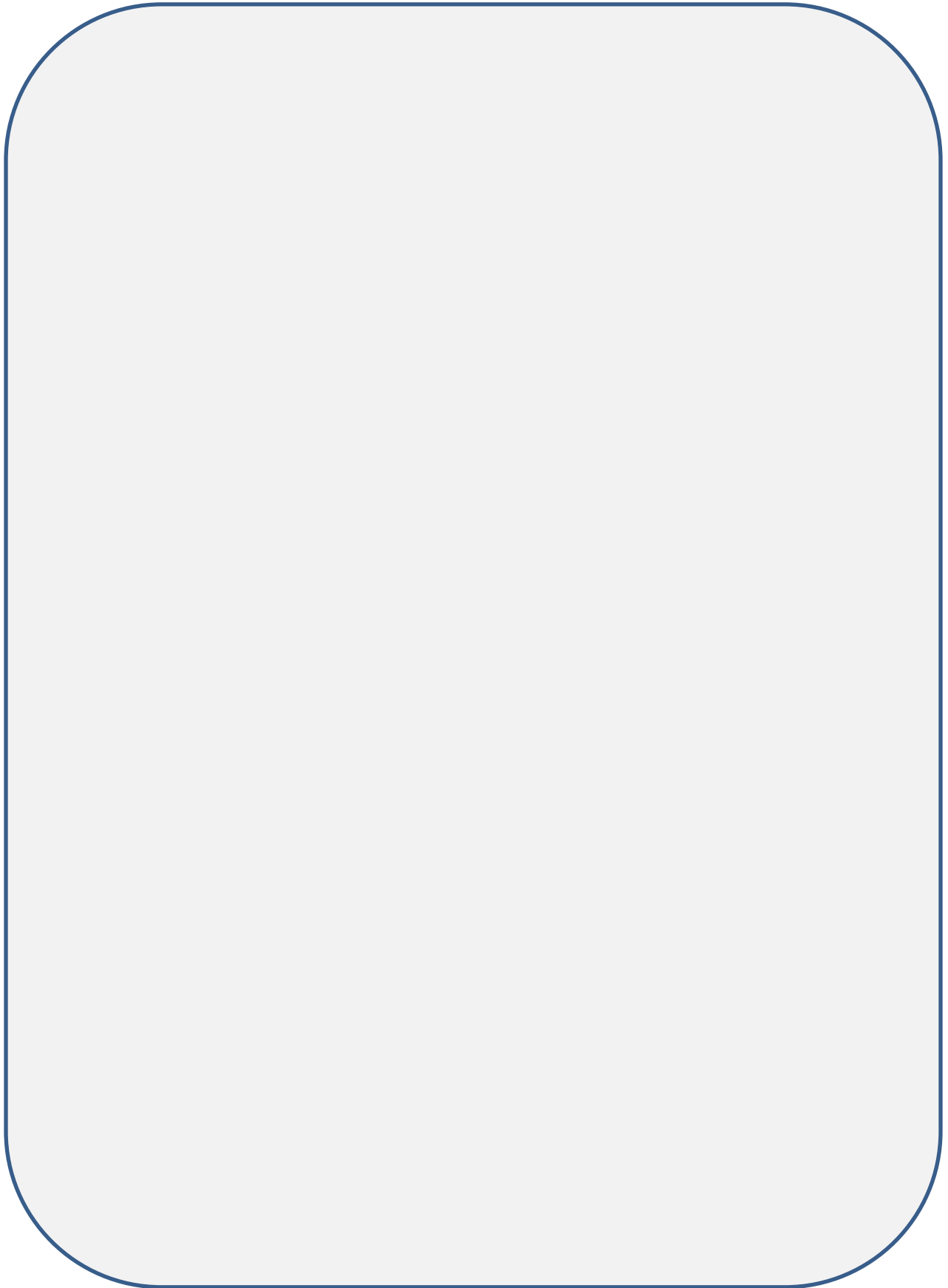
### Developmental Cycle



## SMART Goals



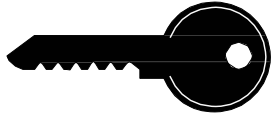
A large, empty, rounded rectangular box with a light gray background and a dark blue border, intended for writing a SMART goal.



## Performance Management Log

Use this log to track significant events throughout the year that relate to your employee's performance. Modify this form to meet your needs and you can create and maintain the log electronically.

<b>Employee Name</b>		
<b>Supervisor's Name</b>		
<b>Date</b>	<b>Situation (Positive or Negative)</b>	<b>Outcome/Result/Action Taken</b>



## ***KEY STEPS - Performance Review***

**STEP 1** Performance review conference must be held within 45 days of the employee's anniversary date.

**STEP 2** Complete Performance Evaluation Report

- Review all documentation collected on employee since his/her last review.
- Write supervisor comments.
- Record the overall performance rating.
- Confirm that this rating is consistent with supervisor comments.
- You must consult your personnel officer when the overall rating is unsatisfactory and follow the contractual process for progressive corrective action.

**STEP 3** Forward the Report for Review

- Forward completed form to the reviewer who: (1) ensures that the rater has properly completed the form; (2) reviews rater's comments and overall rating; and (3) enters reviewer's comments, signs the form and forwards to appointing authority.
- Forward completed form to appointing authority who reviews and signs the form and returns it to rater.

**STEP 4** Prepare for Performance Review Conference

- Provide employee with a copy of finalized evaluation to review (optional).
- Encourage employee to prepare for the conference by reviewing his/her performance since the last review and gathering any pertinent information.

**STEP 5** Hold Performance Review Conference with the Employee

- Review the major job duties and performance expectations.
- Have the employee summarize his or her self-assessment.
- Probe and clarify reasons for success and/or failure.
- Share observations and documentation.
- Recognize where expectations are met or exceeded.
- Provide a rationale of the overall evaluation.
- Seek input and reaction from the employee.



## Review

**KEY STEPS - Performance Review (Continued)**

- Identify areas of agreement and disagreement.
  - 9 Try to reach consensus.
  - 9 Allow employee to vent emotions.

**STEP 6 Discuss Performance Improvement (optional)**

- Determine the form and amount of improvement needed.
- Use a "problem-solving" approach.
- Establish specific improvement needs and actions.

**STEP 7 Discuss Employee Development (optional)**

- Have the employee conduct a self-assessment of their present skills and career ambitions.
- Identify options for development.

**STEP 8 Discuss Performance Planning for the Next Review Cycle**

- Conduct the performance planning discussion or schedule a meeting to conduct it later.
- Where appropriate, reaffirm existing major job duties and performance expectations.
- Where appropriate, revise or develop new major job duties and performance expectations, with consideration of the impact of such changes on the employee's job classification and on the work unit in general.
- Enter performance plan for next rating period onto new Performance Evaluation Report.

**STEP 9 Employee Response**

- Give the employee time (after the review conference) to complete the "Employee Comments" subsection of the form.
- Obtain employee signature. Inform employee that signature does not indicate their agreement or disagreement with the evaluation.

# Performance Evaluation Report

## DOCUMENT A - Evaluation Summary

Employee: <u>Alex Doe</u>	Type of Evaluation: <input type="checkbox"/> Original Probation <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Promotion <input type="checkbox"/> Special <input type="checkbox"/> Warning <input type="checkbox"/> Separation
Department: _____	
Position Title: <u>Employee</u>	
Evaluation Period From: <u>1/3/2014-1/3/2015</u>	
Performance Review Conference held on: <u>1/4/2015</u>	

OVERALL PERFORMANCE DURING THE EVALUATION PERIOD IS RATED AS: (Check one)	
<input type="checkbox"/>	The employee's overall performance significantly and consistently surpasses all performance standards established for the position. This evaluation recognizes an employee's sustained excellence and accomplishments which are substantially above usual expectations.
<input type="checkbox"/>	The employee's overall performance in all areas frequently exceeds the performance standards established for the position. This evaluation recognizes an employee's consistent effectiveness and accomplishments which are above usual expectations.
<input type="checkbox"/>	The employee's overall performance consistently meets the performance standards established for the position and regularly achieves expected results. An employee at this achievement level meets usual expectations and performs tasks in a timely and acceptable manner.
<input type="checkbox"/>	The employee's overall performance inconsistently meets the performance standards established for the position and indicates that significant tasks are not completed in the time or manner expected. Performance is below the minimum acceptable level for the position. Correction of performance deficiencies is necessary for continued employment.

Name of Supervisor: <u>Sam Smith</u>	Signature: _____
Title: Supervisor	Date: _____
Name of Reviewer: _____	Signature: _____
Title: _____	Date: _____
Appointing Authority: <u>PatLead</u>	Signature: _____
Title: Deputy Commissioner	Date: _____
Employee: <u>Alex Doe</u>	Signature: _____
Title: Employee	Date: _____

To the Employee: Signature only indicates receipt of the evaluation.

## 7 Questions an Employee Wants Answered in a Performance Review



1. How am I doing?
2. What can I do to be even more effective?
3. Is there anything I'm on shaky ground about that we need to address?
4. What will be expected of me before the next review?
5. How will my work be evaluated during that time?
6. How do my goals fit into the future of this organization?
7. What kind of help or attention can I expect from my supervisor?

## Performance Management Checklist for Supervisor

*The following checklist is designed to guide the supervisor in preparing and conducting an employee performance evaluation meeting. If you need assistance, please feel free to contact your Human Resources Manager.*

### **General Preparation:**

- ✓ I have reviewed the employee's job description and have an understanding of what is expected in terms of job performance for this employee.
- ✓ I have observed this employee's performance throughout the year. I have reviewed my supervisory notes, e-mails, documentation and taken into consideration any feedback I've received about the employee during the year and have thought about his/her general accomplishments.
- ✓ I have identified the employee's strengths and areas in need of improvement.
- ✓ I have thought about the employee's skills, work experience and training.
- ✓ I have identified goals and development plans for the employee for the next review period.
- ✓ I have given the employee a few days' advance notice of the meeting so he/she can prepare and complete an employee self-evaluation. I will review and consider this information when conducting the evaluation meeting.
- ✓ I have set aside a private area to meet. I have an uninterrupted block of time so I can have a full discussion with the employee about his/her performance.
- ✓ I have planned the key points I want to cover with the employee and I have anticipated the impact of the discussion on the employee.

### **Conducting the Performance Evaluation Meeting:**

- ✓ I plan to begin the meeting by creating a sincere, open and friendly atmosphere. This includes stating the purpose of the meeting, letting the employee know this should be a joint discussion about performance and goal setting.
- ✓ When discussing the employee's performance, I plan to discuss the employee's strengths, accomplishments, areas of improvement, goals for next year and development plans. I will be prepared with specific examples. I will use open-ended questions to promote thought, understanding and discussion. I will utilize good listening skills, praise and constructive feedback.
- ✓ I will encourage the employee to provide feedback on goals and a development plan for next year. I will work with the employee to set realistic timeframes and outcomes.

## **Closing the Meeting:**

- ✓ I will summarize what has been discussed, show enthusiasm for plans that have been made for the future, and attempt to end the conversation on a positive note.

## **Follow-up and Personal Reflection about the Meeting:**

- ✓ I will provide a copy of the evaluation to the employee when it is finalized with his/her signature.
- ✓ I will send the original evaluation or a copy to Human Resources for processing.
- ✓ If the employee strongly disagrees with the evaluation, I will contact my supervisor or Sr. HR Manager for assistance.
- ✓ I will think about what I learned new about the employee and any feedback the employee provided to me about how I can help him/her be more successful in their position.
- ✓ I will consider how well I did on the following:
  - Did I make the employee feel comfortable?
  - Establish rapport through eye contact, a friendly greeting and small talk?
  - State the purpose of the meeting?
  - Ask for the employee's opinion about his/her performance?
  - Did I let the employee do most of the talking?
  - Give examples and praise?
  - Discuss areas of improvement?

## Examples of Employee Evaluation Levels

### Outstanding

In addition to meeting general and specific job expectations:  
Proactively engages in tasks that promote and support the organization's mission.  
Proactively engages in tasks that promote and support the team's success.  
Leads peers in professionalism.

**Example:** Janice is a finance administrator. Her primary duties include preparing weekly and monthly financial reports, conducting quarterly audits and examining and rectifying daily revenue and expenditure reports.

During this rating period, Janice significantly and consistently surpassed all performance standards for her position. She successfully completed each task before deadline. Janice took the initiative to develop new strategies to make the office run more efficiently. These strategies have shown an overall increase in productivity by 15% within the tax department in the last six months.

Janice completed three hundred twenty-five (325) expenditure reports during this rating period. Each expense report was submitted on-time with no errors. The audit team members commented to Director Smith on how impressed they were with Janice's professional audit reports. She provided weekly and monthly financial reports and each report was delivered in a clear, concise format. None of Janice's reports needed revision.

Janice expressed an interest in workforce development and training new employees during the past rating period. She designed a new training manual for Financial Administrators that is being utilized to train staff State-wide. The manual is a quick reference guide that troubleshoots frequent financial questions that may arise during the regular course of work. Janice also provided onboarding training to seven new employees and routinely met and provided professional guidance to the employees after they completed their initial training program. Additionally, she facilitates a monthly roundtable forum with other financial administrators and managers to discuss ways to improve workplace efficiency. She recently took on the role of a LEAN instructor, training employees across State government. Janice's work performance during this rating period has greatly enhanced not only the organization's mission and goals, but that of agencies State-wide.

During a recent discussion, she welcomed the opportunity to design a new financial program that could be utilized in the AOT Finance Department. She has ensured that she can create and implement the program within four months. My expectation is that Janice will continue her outstanding performance in all areas. She is encouraged to continue her career development.

## Examples of Employee Evaluation Levels

### Excellent

In addition to meeting general and specific job expectations:  
Anticipates organizational needs with regard to deadlines and tasks.  
Anticipates and supports team needs.  
Models professionalism.

**Example:** Janice is a finance administrator. Her primary duties include preparing weekly and monthly financial reports, conducting quarterly audits and examining and rectifying daily revenue and expenditure reports.

Janice frequently exceeded the performance standard for the position. She consistently and accurately completed most tasks before deadline. Janice proactively provided new orientation training to seven new employees. She fosters a positive work environment and always finds time to assist her colleagues or direct them to an individual that can provide them with the information they need. Janice completed two hundred seventy-one (271) expense reports during this rating period. Each report was submitted either before or by the deadline. Very few reports needed minor revisions. Janice's quarterly audits were completed on time and none required corrections. Her weekly and monthly reports were professionally prepared. None required revision but she submitted a late report on three occasions.

Janice takes a proactive approach to learning new ideas. She has expressed her desire to learn the State's VISION system and was recently afforded an opportunity to do so. The training was beneficial and Janice has put what she learned into practice. She attends all roundtable forums and provides input to the group on ideas to improve the business process.

My expectation is for Janice to become a subject matter expert in the VISION process. Additionally, she is encouraged to continue her career development within the agency.

## Examples of Employee Evaluation Levels

### Satisfactory

- Meets general and specific job expectations in a consistent and satisfactory manner.
- Meets deadlines.
- Complies with professionalism standards.

**Example:** Janice is a finance administrator. Her primary duties include preparing weekly and monthly financial reports, conducting quarterly audits and examining and rectifying daily revenue and expenditure reports.

During this rating period, Janice consistently met the performance standards for her position. Janice's quarterly audits for the Department of Environmental Conservation group was her most successful accomplishments during this rating period. She continues to meet and occasionally exceed her work expectations in this area. Her weekly and monthly financial reports are submitted accurately and on-time but the Agency of Natural Resources Fish and Wildlife (F&W) expense reports for July and August contained several errors. Janice corrected these deficiencies when they were brought to her attention. She was provided performance feedback (August) on the importance of checking her reports for errors prior to submission. Since the feedback session, Janice's F&W expense reports have shown a marked improvement. She is encouraged to work on this very important task and contact me if she requires assistance.

One of Janice's duties is to provide training to new employees. Nine new financial administrators joined the unit during the past year. Janice provided on-the-job training to two employees. These employees indicated they were confused about certain financial procedures. I recommended to Janice that she utilize a new financial orientation manual to assist her with the training process. After reading and understanding the manual, Janice recognized how she could better serve in her role as a trainer. She is expected to take a more proactive role in training additional staff members in the following year.

Janice attended three monthly roundtable forums this rating period. While not a requirement, staff members are reminded of the knowledge generally acquired by attending these forums.

Janice is encouraged to seek opportunities to further expand her knowledge and career development.



## Examples of Employee Evaluation Levels

### Unsatisfactory

- Fails to meet general and specific job expectations in a consistent and satisfactory manner.
- Fails to meet agreed upon deadlines without justification
- Fails to comply with professionalism standards (i.e., workplace decorum, attire).

**Example:** Janice is a finance administrator. Her primary duties include preparing weekly and monthly financial reports, conducting quarterly audits and examining and rectifying daily revenue and expenditure reports.

Janice's overall performance inconsistently met the performance standard for her position.

Janice's prepared on-time quarterly audits for the Department of Environmental Conservation group during this rating period. Janice's weekly and monthly financial reports were late and most contained numerous errors. Janice received training on May 1, 2017, and June 3, 2017 to help her submit correct and timely weekly and monthly reports. Her reports continue to be submitted past the due date and contain numerous errors. The Agency of Natural Resources Fish and Wildlife (F&W) expense reports for May and June contained significant errors. After providing her with training on May 1, 2017, Janice failed to correct these deficiencies. Of the 210 expense reports Janice submitted for review in May 2017, 70 or 33% contained errors. Twenty-five (25) expense reports were submitted more than ten (10) days after deadline. Janice was provided performance feedback on May 25, 2017 and June 14, 2017 on the need to provide timely and accurate expense reports and weekly and monthly financial reports. During the feedback sessions, Janice said she no longer was interested in "doing good work" but needed to keep her job. Since the feedback sessions, Janice's work performance has declined. Of the 200 expense reports Janice submitted in June 2017, 72 contained errors. Janice's lack of ability to satisfactorily complete her assigned work in a timely manner has impacted the Agency. Other employees are being forced to work extended hours to complete their work and hers.

One of Janice's duties is to provide training to new employees. Nine new financial administrators joined the unit during the past year. Janice provided on-the-job training to one employee. The employee required remedial training. Janice did not provide training to additional employees because she was unavailable due to attending training to learn how to submit correct reports. Janice attended one roundtable in March 2017. She complained to the group about the requirement to train new employees. I explained that training new employees was part of her job description and was an important part of building a productive team and establishing strong professional working relationships. Janice said she would reluctantly train new employees but offered no guarantee that they would be properly trained. This comment was overheard by six members of the financial team.

**Supervisors are expected to work closely with their assigned DHR Field Representative during the rating year in which employee performance deficiencies are noted. Performance Evaluations that contain a rating of "Unsatisfactory" should be completed with assistance from the supervisor's assigned DHR Field Representative and the performance evaluation should not be provided to the employee until it has been reviewed by the DHR Field Representative.**

## Common rating errors to avoid

### SOURCE: A GUIDE TO THE STATE PERFORMANCE MANAGEMENT SYSTEM

#### Chapter 5 – Phase 3: Performance Review

**General Bias.** When raters are overly severe to employees in their evaluation they are making an error of negative bias; easy raters make the error of positive bias.

**Halo Effect.** The tendency for a supervisor to feel strongly about one trait and to let that feeling influence the evaluation of all work behavior.

**Recency Effect.** This results when an employee makes an outstanding contribution or an untimely mistake just before a performance review, and the supervisor's perception of the employee's performance for the entire review period is altered.

**Central Tendency.** Consistently rating employees' performance as average when the performance clearly warrants a substantially higher or lower rating. Weak supervisors try to make everyone happy by rating everyone as "average."

**Contrast Effect.** The tendency for a supervisor to evaluate the employee as compared to other individuals rather than on the job expectations.

**Similar-to-Me Effect.** The tendency on the part of a supervisor to review more favorably those people whom they perceive as similar to themselves.

## Notes