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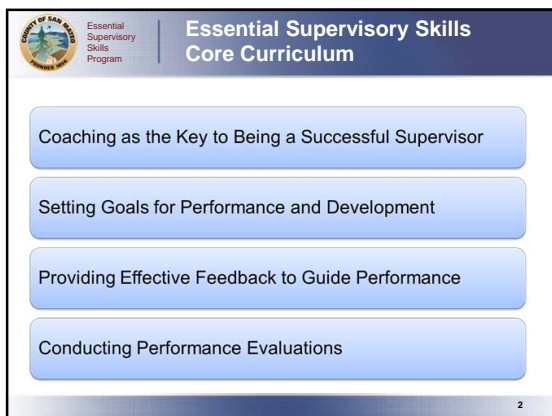
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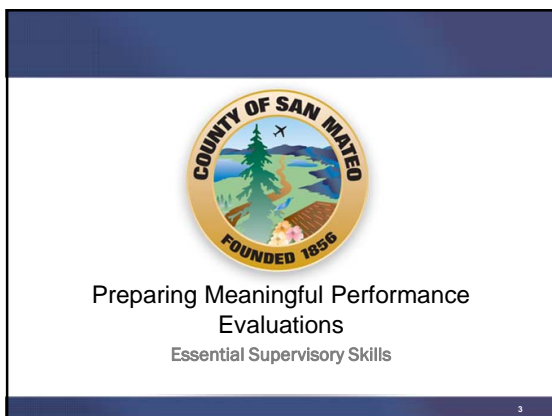
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Essential Supervisory Skills Program

### Training Topics: Conducting Performance Evaluations

- What is the purpose of performance evaluations?
- What are the benefits of this process for the employee and the organization?
- How can you set and communicate performance expectations?
- What are some methods for establishing systems to effectively monitor performance?
- What are the specific steps to draft, finalize and issue Performance Evaluations?
- How can you effectively address employee performance issues?
- What are next steps and follow-up activities?

Performance Evaluation Workshop 4

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Essential Supervisory Skills Program

### Purpose of Performance Evaluations

**Large Group Exercise:**

- What is purpose of a performance evaluation?
- What is the value?

Performance Evaluation Workshop 5

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### Benefits

Performance Review and Evaluation

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Essential Supervisory Skills Program

### Benefits to the Employee

- Formal opportunity for employee to hear about their strengths and areas that need improvement
- Provides a chance for employees to discuss what they've accomplished and ask for what they need from their supervisor
- Reinforces what's expected of them
- Encourages taking responsibility for their performance and progress
- Training and development needs can be identified
- Other?

Performance Evaluation Workshop 7

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Essential Supervisory Skills Program

### Benefits to the Supervisor

- Helps to improve supervisor/employee relationship and increase employee engagement
- Can help focus effort and improve unit productivity
- Provides a paper trail/documentation for addressing performance or disciplinary problems
- Provides justification for new assignments and recognition
- Other?

Performance Evaluation Workshop 8

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Essential Supervisory Skills Program

### Benefits to the Organization

- Demonstrates organization's commitment to employee success
- Improves overall organizational communication
- Facilitates alignment of goals and performance
- Helps identify process improvement opportunities
- Helps to reduce the number of performance and conduct issues
- Other?

Performance Evaluation Workshop 9

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**Setting and Communicating Expectations**

Performance Review and Evaluation

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Essential Supervisory Skills Program

### Why Clear Expectations are Important

**They communicate:**

- A shared understanding of the functions, responsibilities, services and results (goals) the job should produce
- What processes, methods or means the employee is expected to use
- What impact the work should have on the organization
- How you expect the employee to act with clients, colleagues, and other supervisors
- What organizational values the employee must demonstrate
- Objective measurements for determining successful performance

Performance Evaluation Workshop 11

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Essential Supervisory Skills Program

### Expectations Should Include:

**Written performance standards for the position, for example:**

- Process 25 documents per day
- Maintain an error rate of less than 3.5%
- Carry no more than 10% of cases in excess of 30 days
- Enter all new cases within 24 hours of receipt

**Specific goals for the individual employee, for example:**

- Complete Phases 1 & 2 of assigned project by January 15, 2013
- In order to decrease delaying questions at the front counter, provide procedural instructions to customers by March 1, 2013

Performance Evaluation Workshop 12

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 Essential Supervisory Skills Program

### Expectations May Include:

- The job specification, and any department-specific job description
- State, Federal and/or departmental guidelines, etc.

Performance Evaluation Workshop 13

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 Essential Supervisory Skills Program

### Expectations

**Small Group Exercise:**

- Briefly tell your partner about your position and general job duties.
- Based on what you hear, tell your partner one or two expectations that you think would be relevant for their position.

Performance Evaluation Workshop 14

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 Essential Supervisory Skills Program

### Expectations

- How do expectations differ from the job description?
- How do expectations differ from goals?

Performance Evaluation Workshop 15

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 Essential Supervisory Skills Program

### Tips: Examples of Expectations

Job Responsibility	Expectation
Provide comprehensive administrative and clerical support to management	<ul style="list-style-type: none"> <li>Develop a process to effectively manage incoming requests from multiple staff members</li> <li>Respond to e-mails and voicemails within 24 hours (with the exception of emergencies)</li> </ul>
Assist with the coordination of events, including interaction with vendors and meeting participants	<ul style="list-style-type: none"> <li>Maintain accurate and updated contact information</li> <li>Work with facilities office to ensure required rooms and materials are available for events</li> <li>Ensure participants are notified at least 4 weeks prior to an event</li> </ul>

Performance Evaluation Workshop 16

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 Essential Supervisory Skills Program

### Tips: Communicating Expectations

- Explain to the employee how he/she "fits" into the organization's goals, plans, and organizational chart – the big picture
- Communicate global expectations to new employees (customer service, reliability, accountability, team player)
- Make position-specific expectations clear to the employee
- Ensure that the employee understands all of these expectations



Performance Evaluation Workshop 17

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## Monitoring Progress and Performance

### Performance Review and Evaluation

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Essential Supervisory Skills Program

### Monitoring Progress and Performance

- Conduct regular 1:1 meetings
- Discuss performance and measure it against consistent and objective standards and expectations
- Clarify milestone dates and due dates
- Monitor “work in progress”; don’t wait until the finished product
- Make employees welcome in your office and visit their work areas
- Manage by walking around

Performance Evaluation Workshop 19

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Essential Supervisory Skills Program

### Monitoring Progress and Performance

**Continuously gather information about each employee’s performance**

- This is an ongoing process, not something the supervisor waits to do when it’s time to complete the performance evaluation

**Share information with each employee on a timely and consistent basis**

- If you have not shared a concern with the employee, it cannot go into the evaluation—No Surprises!

Performance Evaluation Workshop 20

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Essential Supervisory Skills Program

### Tips: Keeping Performance Records

**Save your notes and records pertaining to the employee’s performance, conduct and your 1:1 meetings with him/her**

**Maintain a “drop file” for each employee**

- Keep employee records, as well as copies of any work products
- Use checklists, tickler files, desk calendars, flow charts, etc.

**Save the documentation for when it comes time for you to write the performance evaluation**

Performance Evaluation Workshop 21

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 Essential Supervisory Skills Program

### Examples: Verifying Performance

- Specific work products (tangible evidence that can be reviewed without the employee being present)
- Reports and records, such as attendance, safety, inventory, financial records, etc.
- Checklists with specific, observable criteria that need to be met in order for an expectation to be considered complete
- Direct observation
- Customer surveys
- Commendations or feedback about the employee's work from others (positive and negative)

Performance Evaluation Workshop 22

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### Steps in the Evaluation Process

Performance Review and Evaluation

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 Essential Supervisory Skills Program

### What are the Overall Steps in the Performance Evaluation Process?

- Step 1: Preparation
- Step 2: Complete the Draft Evaluation
- Step 3: Conduct the Review Meeting
- Step 4: Employee Reviews and Comments
- Step 5: Finalizing the Performance Evaluation
- Step 6: Signing the Evaluation and Storing in Personnel Files

Performance Evaluation Workshop 24

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Essential Supervisory Skills Program

### Step 1: Preparation

**Notify the employee 4-6 weeks before the Review Meeting**

- Arrange for a private place to hold the meeting
- Make arrangements to prevent interruptions

**Ask the Employee to provide input by writing a Self-Review to be completed prior to the Review Meeting (optional)**

**Ask the employee to come to the meeting prepared for the discussion:**

- Work product examples
- List of achievements
- Ideas for areas he or she would like to develop

Performance Evaluation Workshop 25

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Essential Supervisory Skills Program

### Step 1: Preparation

- Four weeks prior to the end of the rating period, review the contents of your supervisory "drop file", to re-familiarize yourself with the employee's work during the rating period
- Review the job description for accuracy and relevancy
- Identify the strengths and weaknesses of the employee in observable behavioral terms (not attitudes)
- Clearly designate areas where improvement is required that have already been discussed during regular feedback sessions

Performance Evaluation Workshop 26

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Essential Supervisory Skills Program

### Step 2: Complete the Draft Evaluation

- Complete an initial draft Performance Evaluation
- Base it on your 1:1 discussions and documentation over the rating period
- Cover both strengths and areas needing improvement
- Consider how the employee is likely to react to the evaluation and plan how to handle the employee's reaction
- Develop some ideas for how to address ongoing issues or problems noted in the evaluation
- Have specific (not vague) examples in support of the ratings for each factor

Performance Evaluation Workshop 27

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Essential Supervisory Skills Program

### Exercise: Small Group Exercise

**Example 1:**  
**Vague: The employee always turns in late reports.**  
 Specific: On seven separate occasions, the employee has missed the deadline to submit her reports for review, despite being reminded of the deadlines a week before they were due. These missed deadlines caused support staff to work 2 additional hours of overtime.

**Example 2:**  
**Vague: The employee performs well.**  
 Specific: The employee has consistently received above 95% customer satisfaction survey results from the customer surveys during this rating period.

Performance Evaluation Workshop 28

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Essential Supervisory Skills Program

### Step 2: Complete the Draft Evaluation

**Focus on behavior and result.**

- Focusing on behavior means the evaluation should describe specific actions or patterns of behaving
- Focusing on results means describing the extent to which the employee has satisfied the goals for which he or she is responsible

**Avoid addressing personal traits or characteristics that are unrelated to successful job performance**

Performance Evaluation Workshop 29

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Essential Supervisory Skills Program

### Step 2: Complete the Draft Evaluation (Applying Ratings and Comments)

**Add comments or narrative in each section with enough descriptive detail to support the rating decision**

- Describe the positive or negative impact of the expectation being met or unmet

**Write an objective, fair and balanced evaluation**

**Take care not to write "cookie cutter" evaluations across employees and/or across years (spillover effect)**

**Evaluations can be for NO MORE than a 12 month period**

**Review it with your Manager, and make any necessary changes**

Performance Evaluation Workshop 30

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 Essential Supervisory Skills Program

**Step 3: Conduct the Review Meeting (Self-Review)**

- Ask the employee for input first
- Discuss the Self-Review (if applicable) and encourage participation
- This meeting should be a dialogue, not a monologue

Performance Evaluation Workshop 31

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 Essential Supervisory Skills Program

**Step 3: Conduct the Review Meeting (Performance, Expectations and Goals)**

- Review goals and discuss accomplishments and strengths first
- Restate the expectations from the beginning of the cycle and provide examples of the employee's performance
- Discuss to what extent performance exceeded, met, or did not meet expectations
- Ask if the employee has any questions or has anything to add (i.e. information, reactions, etc.)

Performance Evaluation Workshop 32

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 Essential Supervisory Skills Program

**Step 3: Conduct the Review Meeting (Goal Setting for Next Review Period)**

- Discuss areas for improvement in a way that shows the employee where changes should be made to meet expectations or could be made to achieve even greater results
- Ask the employee what he or she could start doing, stop doing and continue doing to improve or maintain his or her performance

Performance Evaluation Workshop 33

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 Essential Supervisory Skills Program

### Step 3: Conduct the Review Meeting (Closing the Meeting)

- Summarize your discussion and reasons for the overall rating
- If appropriate, encourage the employee to take steps to improve job performance
- Ask the employee for final thoughts and reactions
- Explain the next steps in finalizing the evaluation
- Thank the employee for participation during the process
- End on a positive note, stressing the employee's overall contribution to the unit/department/County

Performance Evaluation Workshop 34

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 Essential Supervisory Skills Program

### Step 4: Employee Review and Comment

- An employee can take up to ten working days to review his/her draft evaluation
- The employee can provide his/her supervisor with verbal and/or written feedback regarding the draft
- This feedback includes what the employee would like to see added, changed, or removed from the evaluation

Performance Evaluation Workshop 35

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 Essential Supervisory Skills Program

### Step 5: Finalizing the Performance Evaluation

- Review the draft evaluation, considering the employee's comments (review in good faith)
- Determine what (if anything) will be changed, and finalize the evaluation

Performance Evaluation Workshop 36

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Essential Supervisory Skills Program

### Step 5: Finalizing the Performance Evaluation

**Review the finalized evaluation with your Manager and make any needed changes**

**The Indirect Manager is responsible for:**

- Checking that the supervisor has explained each rating with enough specificity in the appropriate section
- Checking for consistency in ratings between employees being evaluated and between supervisors who are evaluating
- Resolving outstanding questions or concerns about an employee's evaluation

Performance Evaluation Workshop 37

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Essential Supervisory Skills Program

### Step 6: Signing the Performance Evaluation and Storing in Personnel File

- **Obtain the requisite signatures, in this order:**
  - 1) Yours
  - 2) Your Manager's
  - 3) The Employee's
- **Notate if employee chooses not to sign the finalized evaluation, date it, and process it as normal**
- **Give the employee a copy of the finalized evaluation, keep a copy in your supervisory file, and send the original to your department payroll or personnel unit for placement into the Civil Service and Department Personnel Files.**
- **Once the evaluation is finalized, an employee may write a rebuttal and it will be attached to the final performance evaluation.**

Performance Evaluation Workshop 38

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Essential Supervisory Skills Program

### Exercise: Role Play Exercise

**Role Play exercise:**

**Practice holding a performance evaluation meeting**

- **Select a partner**
- **One person will be the Reviewer and the other will be the Employee**

Performance Evaluation Workshop 39

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Addressing Performance Concerns

Performance Review and Evaluation

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Essential Supervisory Skills Program

### How to Bring Issues to the Employee's Attention

- Discuss specific objectives, due dates, timeliness, and quality and quantity standards in one-on-one conversations with each employee
- Written expectations with measurable outcomes are essential when dealing with poor performance
- Employees can't correct problems they do not know exist
- Document notification and discussions about performance concerns.
- Share the documentation as appropriate, with the employee

Performance Evaluation Workshop 41

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Essential Supervisory Skills Program

### How to Bring Issues to the Employee's Attention

1. Timely - Identify and communicate the problem as quickly as possible
2. Factually - Present specific examples of what the employee is doing wrong, and specific examples of the correct way to perform the task
3. Objectively - Present the concern in the context of an adult discussion
4. Looking Forward – Spend time on prevention rather than blaming. "What are we going to do to make sure this doesn't happen again?" not "How did you let this happen?"

Performance Evaluation Workshop 42

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Essential Supervisory Skills Program

### Pre-Evaluation Memos

**May Be Appropriate When:**

- There has been a significant decline in the employee's performance
- There has not been a performance evaluation given in some time

**Advises the employee that absent significant improvement in specific areas, a below-standard evaluation will be issued**

**Speak with your Manager and Employee Relations before issuing a Pre-Evaluation Memo**

Performance Evaluation Workshop 43

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Essential Supervisory Skills Program

### Written Performance Improvement Plan (PIP)

- Focuses on specific areas needing improvement
- Identifies steps within a timeline for the employee to take in order to improve to a competent level
- Involves input from both the supervisor and the employee

Performance Evaluation Workshop 44

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Essential Supervisory Skills Program

### Example: Performance Improvement Plan

Areas for Improvement	Plan for Improvement
Prioritizing Tasks	Make a list of tasks for the next day, and rank in importance Focus on the big picture: how crucial a task, impact on Dept
Judgment	Consider all available facts before problem-solving Devise a workplan for complex tasks to include: Who to speak with, what's needed, best approach, likely obstacles
Time Management	Utilize tools learned in County Time Mgmt course Complete essential activities first thing in the morning Try to handle each piece of paper only once How to say "no" - "I'll refer your problem to _____"

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 Essential Supervisory Skills Program

### Example: Performance Improvement Plan

Areas for Improvement	Plan for Improvement
Meeting Deadlines	<ul style="list-style-type: none"> <li>Set timelines for tasks (milestones, deadlines) &amp; track progress</li> <li>Move toward closure on projects and follow them to completion</li> </ul>
Quantity of Work	<ul style="list-style-type: none"> <li>Think: "Am I doing this in the most efficient way possible?"</li> <li>Reduce time spent on less critical issues</li> </ul>
Keep Manager Informed	<ul style="list-style-type: none"> <li>Discuss upcoming projects – plan of action, timeframe, timeline</li> <li>Discuss current projects and their progress / any obstacles</li> </ul>

Performance Evaluation Workshop 46

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 Essential Supervisory Skills Program

### Exercise: Performance Improvement Plan

**Small Group exercise**

- Think about an employee that you supervised who had performance issues.
- What was the issue and what tools/steps did you use to address the issue?
- Is there anything you would do differently now?

Performance Evaluation Workshop 47

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 Essential Supervisory Skills Program

### Special Performance Evaluations

**What is it?**

- A formal performance evaluation that is written outside of the typical annual evaluation cycle
- An employee will have an initial below standard evaluation that usually also includes a PIP

**Why would we write a Special Evaluation?**

- If your training and coaching does not lead to improvement, consult with your Manager and Employee Relations regarding a Special Performance Evaluation

Performance Evaluation Workshop 48

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 Essential Supervisory Skills Program

### Special Performance Evaluation Process

- Inform the employee that this process is to assist her or him to improve, and he/she will be placed on a series of performance evaluations
- Special Evaluations typically occur in 30-60 day intervals
- You need to discuss with the employee the timeline of the special review cycle and reasons why it differs from a typical review cycle
- Inform the employee of the potential of demotion or dismissal if she or he does not improve to a "Competent" level during the process

Performance Evaluation Workshop 49

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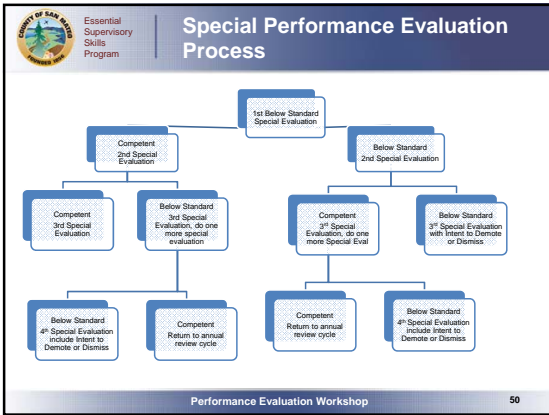
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### Questions

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