



Performance Management System 2015

Introduction

The guidebook is to assist employees and supervisors in understanding the goals and objectives of a sound performance management system.

Performance management is a continuous process that is very important to the success of the organization and to the professional success of its employees. It incorporates prompt and accurate feedback to employees so they can be successful in their role and contribute to the success of Vilas County's initiatives.

It is a matter of perspective. Performance management is ongoing, prospective, and long-term, it involves planning and goal setting and progress.

Why is performance management important?

- It is about recognition, appreciation, and at times, discussion of sub-standard performance
- It is both formal and informal discussion on strengths, weaknesses, opportunities and challenges
- It is a continuous process of increasing expectations over time that change with organizational challenges
- It should drive future change for strategic directions
- It focuses on employee performance and development needs
- It creates the basis for performance-based compensation administration

This guidebook will provide you with information and tools to:

- Understand performance management and the evaluation process
- Develop, communicate and achieve agreement on performance expectations
- Improve communication between employees and their supervisors
- Collectively discuss performance and areas for development and improvement
- Identify training and development needs

The performance evaluation process ensures that employee and management expectations are aligned. Through this process, the employee and rating supervisor can find opportunities to work together to improve job performance and grow professionally within the organization. Opportunities for improvement always exist at all levels of the organization.

Components of Performance Evaluation:

- Employee Self-Evaluation – All Employees
- Employee Questionnaire – All Employees
- Customer Feedback Form – All Supervisors will solicit feedback from 5 internal customers
- Performance Evaluation Form – Completed by department supervisor/manager
- PIP – Performance Improvement Plan – Completed by department supervisor/manager if improvement is warranted

Role of the Supervisor

- Review the position description to ensure that it accurately reflects the roles and responsibilities of each employee
- Review established goals and objectives for employee performance from previous evaluation period
- Solicit feedback and input
- Review performance notes since the last evaluation
- Objectively assess the employee's performance
- Conduct performance discussions and collectively establish goals and objectives for the next period
- Listen to employee's ideas and concerns
- Be direct and specific
- Be fair and consistent

Role of the Employee

- Complete a self-evaluation and questionnaire
- Establish personal and development goals
- Provide ideas and suggestions
- Collectively establish and finalize goals for next evaluation period

Role of Human Resources

- Provide employees and supervisors a clear understanding of the performance management system
- Train and provide support to all throughout the process
- Monitors performance evaluations for consistency
- Ensure that evaluations are legally defensible

Preparation is Key!

Review the job description – What is the primary role, duties and responsibilities. What are the knowledge, skills and abilities that are standard for someone in this position? ***This is your starting point.*** The job description must be reviewed by the employee and the manager. If there are any changes, additions, deletions, those changes need to be made, signed off by the employee and the manager and submitted to Human Resources.

Review Period – The performance evaluation should cover the previous twelve months in the position, not just the most recent period of time. Review last year’s performance evaluation, goals, objectives, and projects. What successes and accomplishments have been made? Where there issues with performance? Were those addressed during the year? What has been discussed previously and what changes have been made?

Dual Supervision – If an employee also works in another department for another manager, it is important that you collectively review, discuss and meet with the employee. It is a shared responsibility.

Documentation – All documents will become part of an employee’s file as a permanent record. Statements made need to be specific, factual and accurate. Review what you have written as ratings and the comments that support your rating.

Customer Feedback Form

As a rating supervisor/manager, you have responsibilities. As a “rater” you need to understand your employee’s performance throughout the entire period. You need to solicit feedback from five internal customers. This feedback will provide you their perception on the employee’s strengths and areas for development. You will complete the form and send it to those individuals in a confidential envelope. The information provided will assist you in completing the evaluation. As the manager, you are not to disclose the source (name of the individual) of the information.

You will be asking two primary questions of the each customer:

1. Please share up to three specific observations you have had of this person performing or excelling in their work (i.e. elements of the work that are especially effective or supportive of your area).
2. Please list a single development opportunity you would highlight for this individual to enhance their performance and move them toward excellence.

<p>As the “Rater” Supervisor/Manager, What Do I Need to Understand or Do?</p>
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- It is your responsibility to encourage your employee’s to think about their performance during the year and ask that they be honest and forthright.
- Requires a real understanding of your employee’s performance throughout the evaluation period
- Carefully review the employee’s self-evaluation
- This is not a “bargaining” session
- This discussion will send a motivational message
- Improve communications between parties
- Allows for differences of opinion
- Employee’s approach to self-reviews can be revealing to you as the manager

Also Things to Consider.....

- Make objective statements
- Consider the totality of the employees performance
- Have specific examples to support your rating
- Focus on performance and actual behaviors, not the personality of the person

Tips for Conducting Performance Evaluations

- Keep a written log throughout the year on successes, accomplishments, critical incidents
- These notes are kept by the employee and manager and then disposed after the annual review – they are not to be retained
- Address this with the employee as they occur, there should be no surprises during the annual formal review
- Observe, examine, comment
- Review outputs, reports, accuracy
- Document in objective terms
- Be consistent in your documentation of all employees
- Be fair and consistent
- Demonstrate to your employee’s that you really care about them

Common Rating Problems

- **Lack of Clarity and Agreement in Standards** — The Position Description and the performance criteria should be clearly understood by the evaluator and the staff member.
- **Insufficient Evidence** — It is nearly impossible to recall an entire year’s worth of performance. Recording significant and critical incidents of both a positive and negative will provide the information
- **Central Tendency Effect** – Means that the supervisors does not rate anyone exceptionally high or low. All employees get the “middle” rating. The “rater” is unable or unwilling to rate an individual who deserves such a rating. The “rater” plays it safe.
- **Halo/Horn Effect** — Rating the employee the same on every trait
- **Similar to Me** — Evaluators may tend to give staff members who are perceived to be like them higher ratings than those who are not
- **Excessive Strictness or Leniency** — The tendency to be optimistic or pessimistic may influence the incidents documented and the emphasis placed on them. Some evaluators say that “no one is perfect” and deliver very tough, strict Evaluations. Others fear offending staff members or feel that high ratings will motivate the staff member and are overly positive in the review.
- **Recency Effect** — The performance evaluation rating should reflect the entire review period. A recent positive or negative event should not color the entire rating.

What Factors will be Evaluated?

Performance evaluations are divided into four sections: Values & Behaviors, Competencies, Performance Factors, and Goals.

Values & Behaviors – it is a moral compass; it is how we perform our jobs by being ethical, honest and positive. It is in our attitude and how we process and interact with others.

The employee...

- Understands the department’s services and priorities as well as the County’s goals and priorities.

- Understands how their job impacts the County’s overall (and/or Department) performance, and considers the interrelationships of the County’s departments and/or functions when making decisions

Competencies – these are observable behaviors that encompass our knowledge, skills, and abilities that distinguish levels of performance. *Competencies will differ based on the role of the position; i.e. department head, manager, and staff employee.*

Department Head & Manager Competencies

- High Standards & Results Orientation
- Team Management
- Organization & Planning
- Talent Management
- Positive Impact
- Relationship Building
- Strategic Thinking

Staff Employee Competencies

- Communicativeness
- Team Player
- Customer Orientation
- Initiative
- Positive Impact
- Problems Solving & Decision Making

Performance Factors – it is the individual’s knowledge and experience with proven results of their knowledge, skills and abilities.

Performance Factors – Department Heads & Managers

- Job Knowledge
- Financial Management
- Time Management

Performance Factors – Staff Employees

- Job Knowledge
- Time Management

- Quality of Work

Performance & Development Goals
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Why do I have to set goals and will the goals established have an impact on my next review in 2016?

- Goals focus on your future performance
- Motivate you to excel
- Growth opportunities for your career
- Yes, achievement of goals will be discussed in the next evaluation

Work goals are projects or assignments that are related to the individual's specific job which help meet department goals or objectives. Each goal needs to follow the SMART method:

S–Specific – Clear and defined

M–Measurable – includes amounts, dates, numbers, percentages

A–Attainable – Must be achievable

R–Relevant – application to your job, department goals, career goals

T–Time Bound – Must set a deadline with measurements of accomplishments within total time

What type of goals are there?

- Productivity goals – increase an amount in a specific time
- Efficiency goals – Increase quality of work by 10%
- Educational/Skill goals – learn Excel and apply applications to my job
- Personal Development goals – Enhance my ability

EXAMPLE: Increase my confidence and ability for public speaking

- Register for courses at Nicolet College - Communication & Personality Styles in the Workplace
- 10-801-196-00 Oral Interpersonal Communication
Focuses upon developing speaking, verbal and nonverbal communications, and listening skills through individual presentations, groups activities, and other projects. Lecture. 3 credits
- Present interest topics on quarterly basis at department meetings
- Job Shadow department head at public meetings

Performance Ratings

Vilas County has established five levels of performance:

Distinguished Performance: Role model status. Potential successor to immediate supervisor/highly promotable now. Performance is above and beyond under exceptional circumstances during the review period. *Approximately up to 5% of all employees perform at this level.*

Superior Performance: Overall excellent performance and easy to work with – smart, dedicated, ambitious, and cooperative, but may not be ready to promote because there is still a lot to learn in the current role. Many have been exposed to exceptional circumstances or opportunities that would warrant a higher designation. However, definitely an exceptional contributor who exceeds people’s expectations in many ways. Just needs more time in current role to grow and develop and gain additional exposure. *Approximately 30% all employees perform at this level.*

Fully Successful Performance: Consistently performs well and is reliable, courteous, and dedicated. Always tries hard and looks for ways of acquiring new skills but doesn’t necessarily perform with distinction. Consistently contributes to the department’s efforts and is a valuable member of the team. *Approximately 50% of all employees perform at this level.*

Partially Successful Performance: Fails to meet minimum performance or conduct expectations in specific area of responsibility. Is not able to demonstrate consistent improvement. Lacks motivation and fails to go the extra mile for others. May perform well but conduct is problematic. *Approximately 10% of all employees perform at this level.*

Unsuccessful Performance: Fails to meet minimum performance or conduct expectations for their role and requires improvement. *Approximately up to 5% of all employees perform at this level. Employees with unsuccessful performance will be placed on a performance improvement plan and re-evaluated in no more than six months.*

Self-Evaluation & Questionnaire

The purpose of this activity is to give the employee information to their manager prior to the completion of the performance evaluation. Employees need to keep in mind that this is their opportunity to:

- State their accomplishments throughout the year
- Share expectations
- Share the challenges that they experienced during the year

- Offer suggestions for making improvements

Tips for Employees for Self-Evaluations

- Keep your own performance log
- Be honest and open – be open to constructive criticism
- Be prepared to discuss ideas
- Take your time in writing your performance evaluation

Performance Log

A performance log is a tool that can be used by the employee and the supervisor. This is a log of notes of successes, accomplishment, critical incidents, when and how it was recognized or addressed, the discussion held and what approved course of action should be taken. These notes need to be factual and specific; dates, times, who, what, etc.

There should be nothing on this log that has not been discussed with the employee. No surprises at annual performance review.

Completing the Evaluation Form

Prepare, Prepare, Prepare!

Optimal work performance requires a clear understanding of what work is to be performed, desired outcomes, and how well the work is completed (quality of work, level of productions, contribution to the organization, etc.). The performance evaluation process ensures that the employee and management expectations are aligned. Through this process, the employee and rating supervisor can find opportunities to work together to improve job performance and grow professionally within the organization. Opportunities for improvement always exist at all levels of the organization.

Each section of the performance evaluation defines the performance standard of being “fully successful”. Comments and examples should be included in each area. If you select a different rating AND you do not include supporting commentary, the rating will be adjusted to “fully successful”.

If you select “fully successful” you are not required to add comments. However, your comments will provide discussion points for both the employee and supervisor.

Complete every section of the performance evaluation with a rating and adding comments and specific examples to support your rating.

Overall Rating

You will need to evaluate the overall performance. The overall rating section is to summarize the collective performance of the competencies and job factors. The overall rating is what is used for the data analysis part of the compensation piece of performance-based pay.

Take your time. This cannot be done in one day. You are assessing a period of 12 months. After completing, set it aside for a day and review your ratings and comments. Make any changes you feel are necessary.

Comments

The final section of the performance evaluation is the comment section. This section allows the employee and the supervisor the opportunity to summarize overall performance in an informal manner.

Additional comments should be attached to the final evaluation form.

Preparing for the Evaluation Discussion

The purpose of the evaluation discussion is to discuss the performance of the employee and assist the employee in understanding their areas of strengths and areas for development.

- Understand your objectives for the meeting
- Hold the discussion in a private area
- Have your notes and documents available
- Enter with positive expectations
- Discuss specific performance issues and behaviors objectively
- Define performance expectations
- Keep the discussion on a professional level
- Don't interrupt, ask questions for clarifications
- Prevent interruptions
- Schedule sufficient time
- Do not focus all on the past, focus on the future
- Maintain good eye contact and be attentive
- Ask the employee for ideas on how to resolve problems
- Discuss developmental plans for the future
- Be willing to meet regularly with the employee, it is not about you, it is about them
- Summarize on a positive note

- Remind employees that you will not be sharing what you have discussed with others and you expect the same

Performance Improvement Plan

There may be times during our career in which our performance exceeds expectations and times, when we need to make some changes for improvement. The purpose of a performance improvement plan is to aid employees in making improvements to reach standard levels of performance – fully successful in their role. A performance improvement plan must be specific and have time measurements assigned.

PIP – A Performance Improvement plan can be for an overall rating AND for a specific competency and/or performance factor.

The PIP-Performance Improvement Plan is a tool for supervisors and managers. They will assess and communicate standards of performance; and work with the employee to achieve the end result. The supervisor is the coach and mentor and will provide feedback and suggestion for change. It is the employee's responsibility to make the necessary changes and/or improvements.

Human Resources is your resource to assist you with this process.

Final Comment

Performance management with a performance based pay system is new to Vilas County. It is not cast in stone. This is the first year and it is recognized this will evolve and change over a period of time based on numerous factors. The format, process may not be perfect, but it provides for a starting point.

Through honest and open communication, employee involvement and participation, mutual trust and cooperation by all, a performance management system can make improvements and work towards the common goal of achieving organizational goals.

The success of this new system depends on the supervisor's ability to fully understand and implement. Employees must have the trust and confidence in their manager's ability to fulfill the intent and purpose of a good performance management system. If the supervisor fails, by overstating and or understating performance or assesses everyone in the group to be the same, the credibility of the systems will suffer.

As a supervisor you have the responsibility to be honest, fair and consistent. You also need to recognize those employees that are high performers and address performance of those that are not meeting the expectation.