

Skills for Successful Supervision

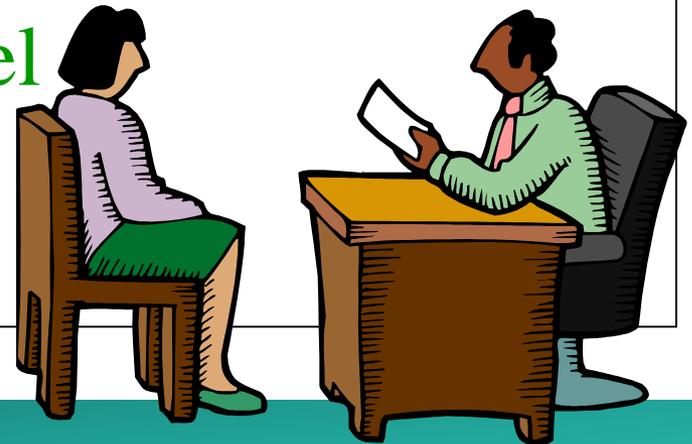
A Primer of Basic Supervisory Skills and Techniques DAY THREE: PERFORMANCE MANAGEMENT



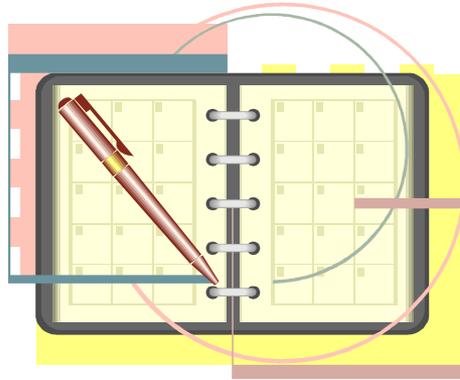
The Performance Management Process



- What are the components of the process?
- What skills are necessary?
- How comfortable do you feel with the process?



Agenda



- **Performance Management Process Overview**
- **4 Phases of Performance Management**



Value of Performance Management

- Drives **accountability** throughout the organization
- Ensures there is **alignment** between individuals' goals and objectives and their agency's goals and strategic plans
- Drives **clear expectations** with measurable, objective criteria
- Provides **opportunities for feedback** to employees
- Supports **individual development** planning to expand individuals' skill sets



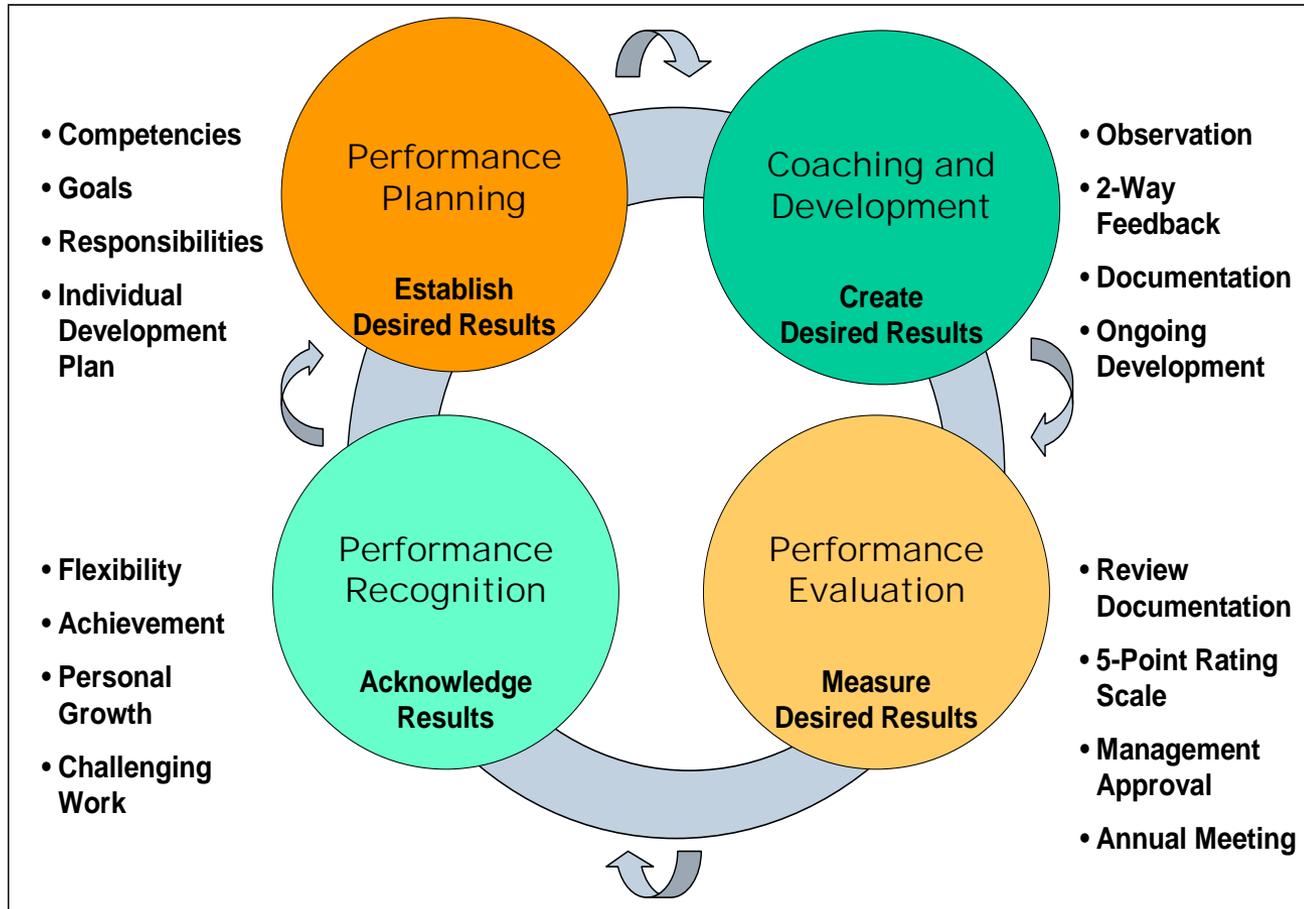
Web Tools

doas.ga.gov



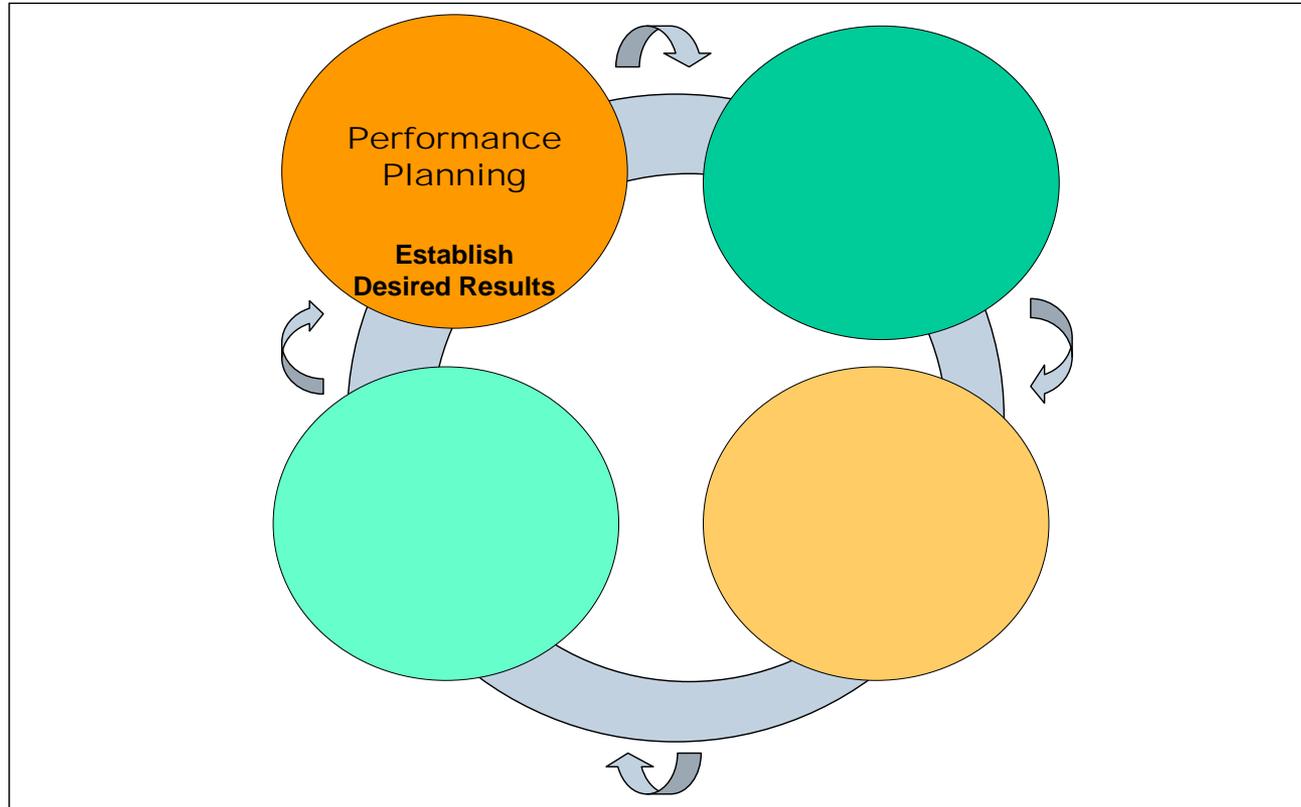


Performance Management 4-Phase Model





Performance Management 4-Phase Model



Phase 1: Performance Planning



Phase 1: Performance Planning

- Key Components of Planning
 - The Performance Plan (handout)
 - Identify Goals
 - Align state and agency goals
 - Identify competencies
 - Agree on responsibilities, tasks and projects
 - Create an individual development plan (IDP)



Phase 1: Performance Planning

- The Performance Plan
 - Who gets a performance plan?
 - The role of the employee and the supervisor in the planning process
 - The Reviewing Manager's process
 - Elements of the performance plan



Elements of the Performance Plan

- Statewide core competencies
- Individual goals and competencies
- Job responsibilities
- Individual development plan (IDP)
- Weighting of each section
except for the IDP



Phase 1: Performance Planning

Section 1: Statewide core competencies



What are competencies?

- **Statewide Core Competencies**
Required of all state employees.
- **Behavioral Competencies**
Optional – based on the specific job



Phase 1: Performance Planning

Competencies

Statewide Core and Leadership Competencies		
Core Competencies		Leadership Competencies
<ul style="list-style-type: none"> ■ Customer Service ■ Teamwork and Cooperation ■ Results Orientation 	<ul style="list-style-type: none"> ■ Accountability ■ Judgment and Decision Making 	<ul style="list-style-type: none"> ■ Talent Management ■ Transformers of Government
Additional Behavioral Competencies		
<ul style="list-style-type: none"> ■ Communication ■ Conflict Management ■ Creativity and Innovation ■ Cultural Awareness 	<ul style="list-style-type: none"> ■ Flexibility ■ Initiative ■ Negotiation and Influence ■ Professional Development 	<ul style="list-style-type: none"> ■ Project Management ■ Teaching Others ■ Team Leadership



Phase 1: Performance Planning

Section 1: Statewide Core Competencies

- **Customer Service**
- **Teamwork and Cooperation**
- **Results Orientation**
- **Accountability**
- **Judgment and Decision Making**



Section 2: Behavioral Competencies

- Communication
- Conflict Management
- Creativity & Innovation
- Cultural Awareness
- Flexibility
- Initiative
- Negotiation & Influence
- Professional Development
- Project Management
- Teaching Others
- Team Leadership



Section 3: Job Responsibilities

- On the evaluation, job responsibilities are automatically generated based on state job descriptions
- Do not have to use these, add or delete as necessary
- When writing job responsibilities, the SMART model can also be used.
- Limit to between 4-5 responsibilities per employee
- Focus on responsibilities that are most important to the employee's success in the position
- Changing responsibilities during a performance period



Phase 1: Performance Planning

SMART GOALS

- **S** – Specific
- **M**– Measurable
- **A** – Attainable
- **R** – Realistic
- **T** – Time limited or Target Driven



SPECIFIC

Clearly define what you are going to do or accomplish.

Use Action Verbs like increase, reduce, implement..

Answer the questions:

- What do I want to accomplish
- Why do I need to accomplish this goal?
- Who needs to be involved?
- How will I accomplish this goal?



Phase 1: Performance Planning

MEASURABLE

- Goals must be **Measurable** so you have evidence that you've accomplished them.

Answer the questions:

- How much?
- How many?
- How will I know when it's accomplished?



ATTAINABLE

Goals should be challenging but not impossible to achieve. They must be **Attainable**, but still provide a stretch.

Answer the questions:

- Does this goal provide a challenge for me?
- Can I achieve this goal?
- Do I have the necessary knowledge, skills and abilities to accomplish this goal?
- Can I achieve this goal given the resources available?



RELEVANT

Goals must be important to achieve. They should line up the Agency's strategies and goals. Their accomplishments should make a difference.

Answer the questions?

- Does this goal line up the Agency's strategies and goals?
- Is the purpose of the goal important to the Agency?
- What would be the impact of my not achieving the goal?



TIME BOUND

Goals must state a limit or deadline that the goal is to be achieved.

- If a specific deadline isn't established the goal can be too vague and won't be truly measurable.

Answer the questions:

- When must the goal be accomplished?
- Does this deadline create an appropriate sense of urgency?



Example of SMART GOAL

Goal: Conduct Financial Audits

Goal using SMART criteria:

- Complete 100-110 Net Worth income tax audits, maintaining 60-70% field audit time, prior to July 1, 2013.
- Is this Goal SMART?



SMART GOAL

Goal: Complete 100-110 Net Worth income tax audits, maintaining 60-70% field audit time, prior to July 1, 2013.

- **Specific** – Net Worth audits
- **Measurable** – 100- 110 audits
- **Attainable** – Yes, can be done with the 60-70% audit time.
- **Relevant** – Yes, auditors each need to complete same %
- **Time Bound** – July 1, 2013



"Critical" Designation

- Show importance of a section by the weight that it is given in comparison to the other sections.
- Question to ask yourself when determining the importance of a section: Are the responsibilities/competencies listed so essential for the success of the position that failure to perform/carry out adequately would most likely result in unacceptable job performance?



Activity

Clearing Up Fuzzy Language



"Critical" Designation

- Factors to consider when determining the importance of a section:
 - Consequences to customers, organization or to the public
 - Health or safety implications
 - Financial or budgetary implications
 - "Political" considerations
 - Proportion of total work time spent



Weighting



- By section based on state & department guidelines and importance of the section
- Weight first three sections, do not weight IDP
- Section 1: minimum of 25%
- Section 2: 0%-75% (default is 50%)
- Section 3: 0%-75% (default is 25%)
- Must be determined & communicated up front



Section 4: Individual Development Plan

- Action plan: goals, activities, projects, etc to further development
- All employees should have one
- Critical to developing and retaining an excellent workforce
- Focus
 - Current role
 - Expansion of skill sets or knowledge
 - Preparation for future roles



Performance Plan Meeting

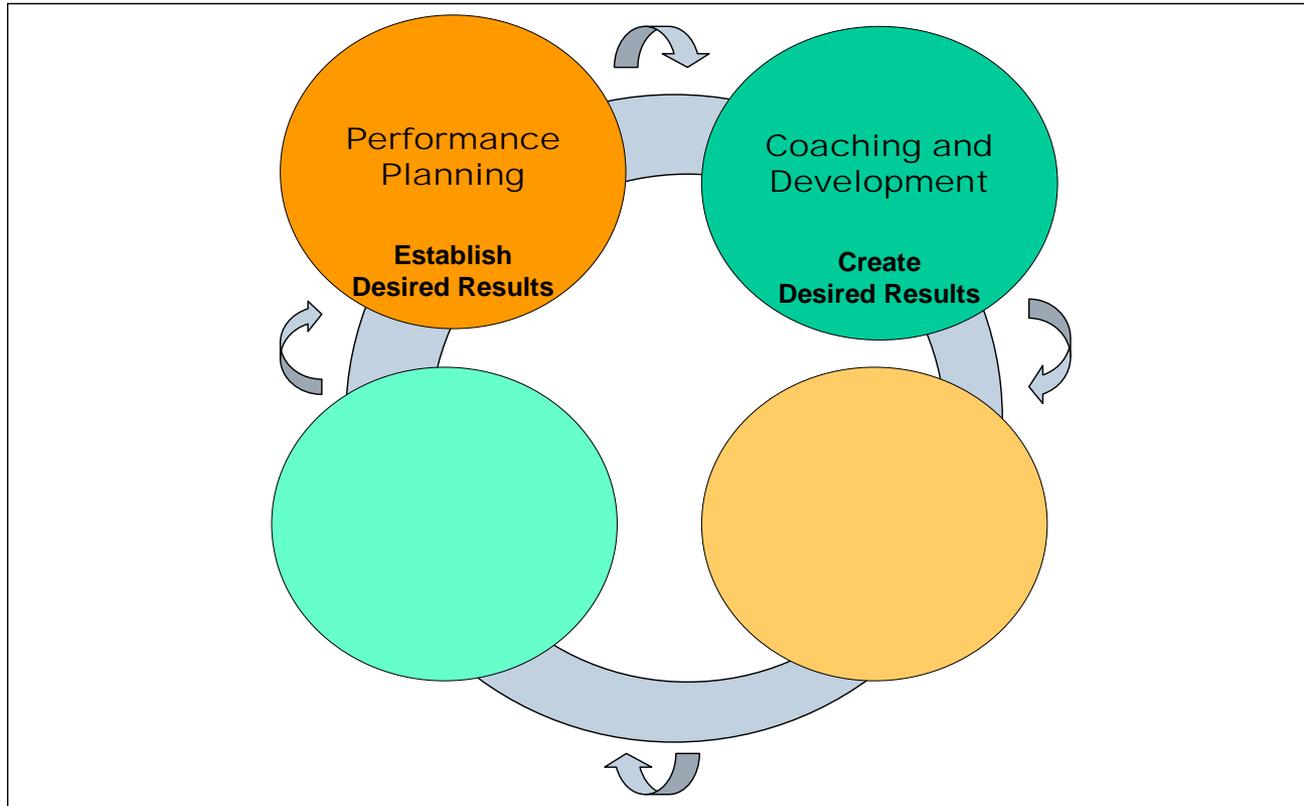
- Thoroughly discuss performance expectations
- Identify actions and behaviors necessary to meet the expectations-what successful & exceptional performance looks like.
- Communicate how performance will be measured.
- Review the method of tracking, monitoring, or observing
- Discuss activities, target dates, & progress measurement for IDP



Phase 1: Performance Planning



Performance Management 4-Phase Model



Phase 2: Coaching & Development

Phase 2: Coaching and Development

Providing direction, guidance, and training to help staff achieve performance goals



Phase 2: Coaching & Development

Coaching

- **Building Skills**

- Set up opportunities for new skills to be learned and practice
- Talk about what they learned and what new skills they developed

- **Work Progress**

- Discuss potential barriers to work success.
- Act as a sounding board for potential solutions. Help employee think through the pros' and cons' of each solution



Coaching

- **Solving Problems**

- Encourage employees to define the problem and come up with possible solutions.
- Remain sympathetic to the employee's difficulties, while encouraging them to continue dealing with the problem

- **Overcoming Conflicts**

- Help employee think through the others' perspectives.
- Focus the discussion on results rather than personalities.



Giving Positive Feedback

- Recognize good performance promptly
- Be specific
- Describe why behavior or result is important
- Relate to goals
- Praise in public
- Mean what you say
- Encourage continued good performance



Giving Corrective Feedback

- Address problems ASAP
- Be specific about deficiencies
- Use opportunity to improve skills
- Describe the effect on goals
- Aim at commitment
- Protect the employee's self-esteem
- Avoid public correction
- When it is over, it's over



Phase 2: Coaching & Development

Management Coaching Model

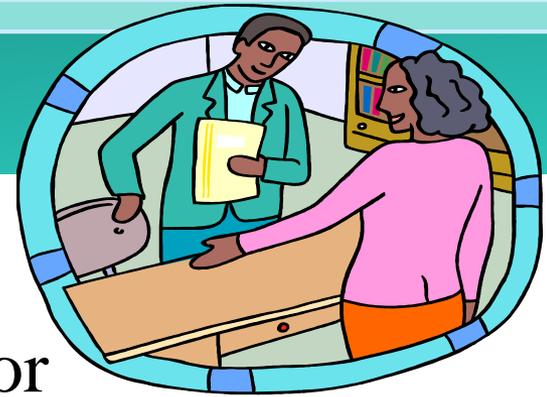


- Tell the employee the significance of the discussion
- Share important specific details about the situation and the desired outcome
- Use open-ended questions to help the employee brainstorm to reach the desired outcome (use active listening skills)
- Agree on an outcome and summarize actions to be taken (focus on win-win solutions)
- Set up a follow up meeting and assure the employee that you have confidence in their ability to resolve the issue



Phase 2: Coaching & Development

Coaching Role Play



- Break into groups of three
- One person will role-play the supervisor
- One person will play the employee
- One person will be an observer
- "Supervisor" creates a hypothetical situation and meets with "employee" to discuss
- Employee reacts as he/she sees fit
- Observer watches to evaluate quality and effectiveness of interaction and to insure that all the steps of the coaching model are followed



Phase Two: Development

Benefits of Development

- Enhance employee strengths
- Improves performance
- Improves retention
- Increases employee satisfaction & motivation
- Processes increase in efficiency



Development



Foster professional growth whenever possible

- Training – search for outside resources
- Enhance & Focus on employee strengths
- Use veteran employees for some of the on the job training & encourage mentoring
- Demonstrate competencies and model professional behavior



Mentoring



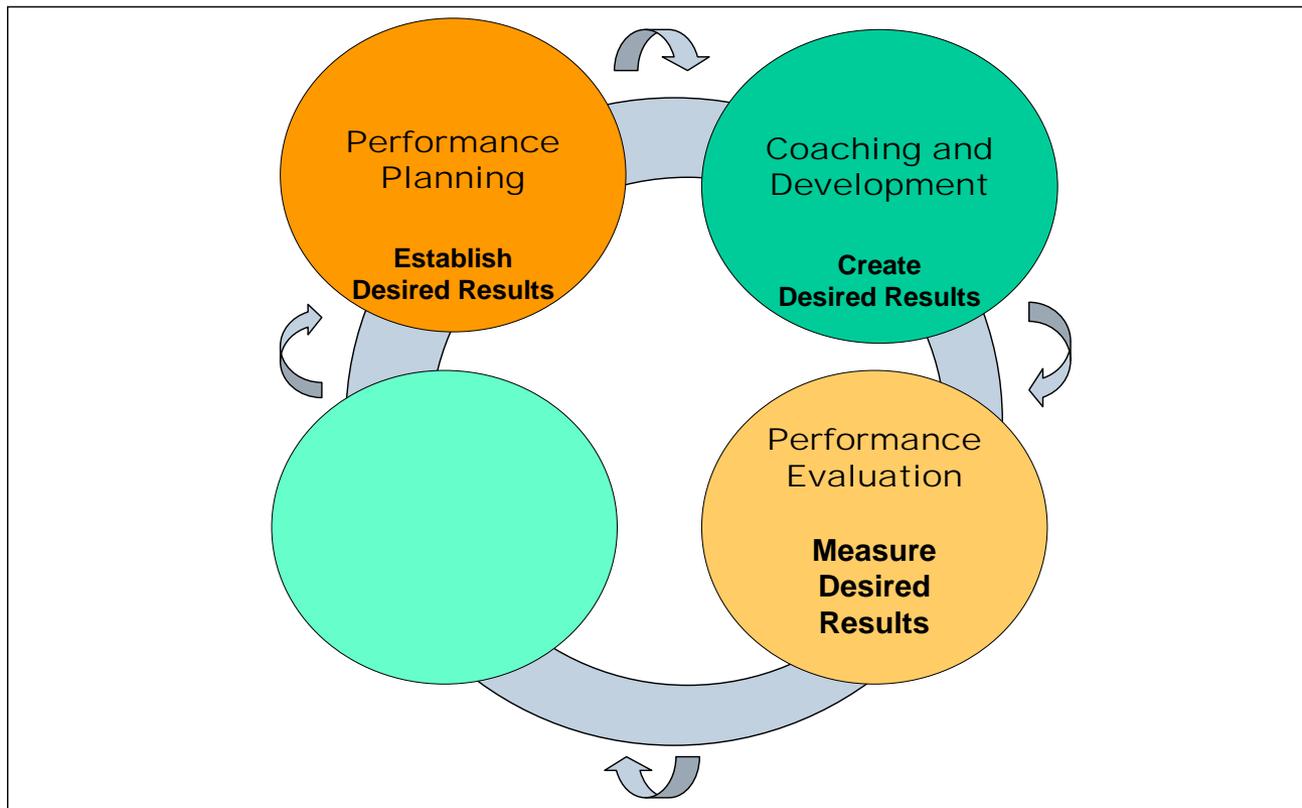
- Usually not done by the supervisor
- Developmental relationship with a more experienced "expert"
- One on one confidential relationship
- Fosters employee growth and confidence
- Less formal structure
- Requires skilled communicator



Phase 2: Coaching & Development



Performance Management 4-Phase Model



Phase 3: Performance Evaluation



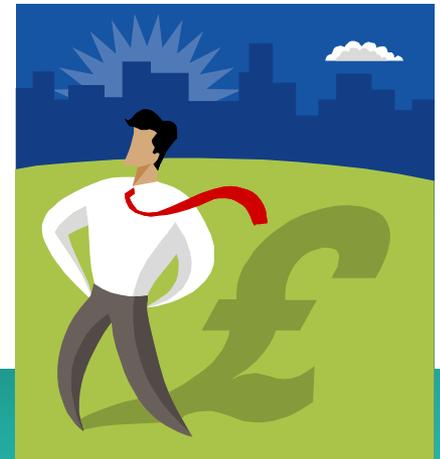
Phase 3: Evaluating Goals & Responsibilities

- Achievement of results or behaviors from performance plan
- Appropriate cost of efforts
- New and innovative methods of working
- Satisfied customers
- Work completed in a timely manner
- Acceptable methods or manner of performance



Reviewing the IDP

- Compare actual performance to goals
- Note which were achieved and which were not and why
- Consider extenuating circumstances
- Put unachieved goals on next IDP
- Communicate any ramifications of failing to achieve goals



Rating Levels



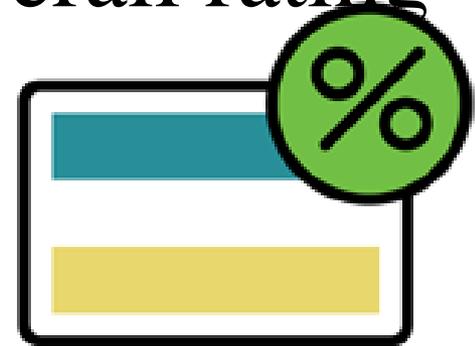
- **5- Exceptional:** exceeded all performance expectations. Exceptional contributor to the success of State & agency-demonstrated role model behaviors.
- **4- Successful plus:** met all and exceeded most (more than 50%) of the established performance expectations.
- **3 - Successful:** met all performance expectations and may have exceeded some (less than 50%). Solid contributor to the success of State & agency
- **2 – Successful minus:** met most (more than 50%), but failed to meet some (less than 50%) performance expectations. Needs to improve in one or more areas of expected job results or behavioral competencies.
- **1 – Unsatisfactory:** did not meet all or most (more than 50%) of the established performance expectations. Employee needs significant improvement in critical areas of expected job results or behavioral competencies.

See handout



Calculation of Ratings

- Assess each goal, competency or responsibility individually
- System calculates over-all rating for the section
- System then calculates an overall rating based on the weights



Evaluation Meeting

- Be prepared
- Explain purpose
- Take notes
- Two-way exchange
- Some problem-solving and goal setting
- Review expectations and definitions
- Discuss self evaluation



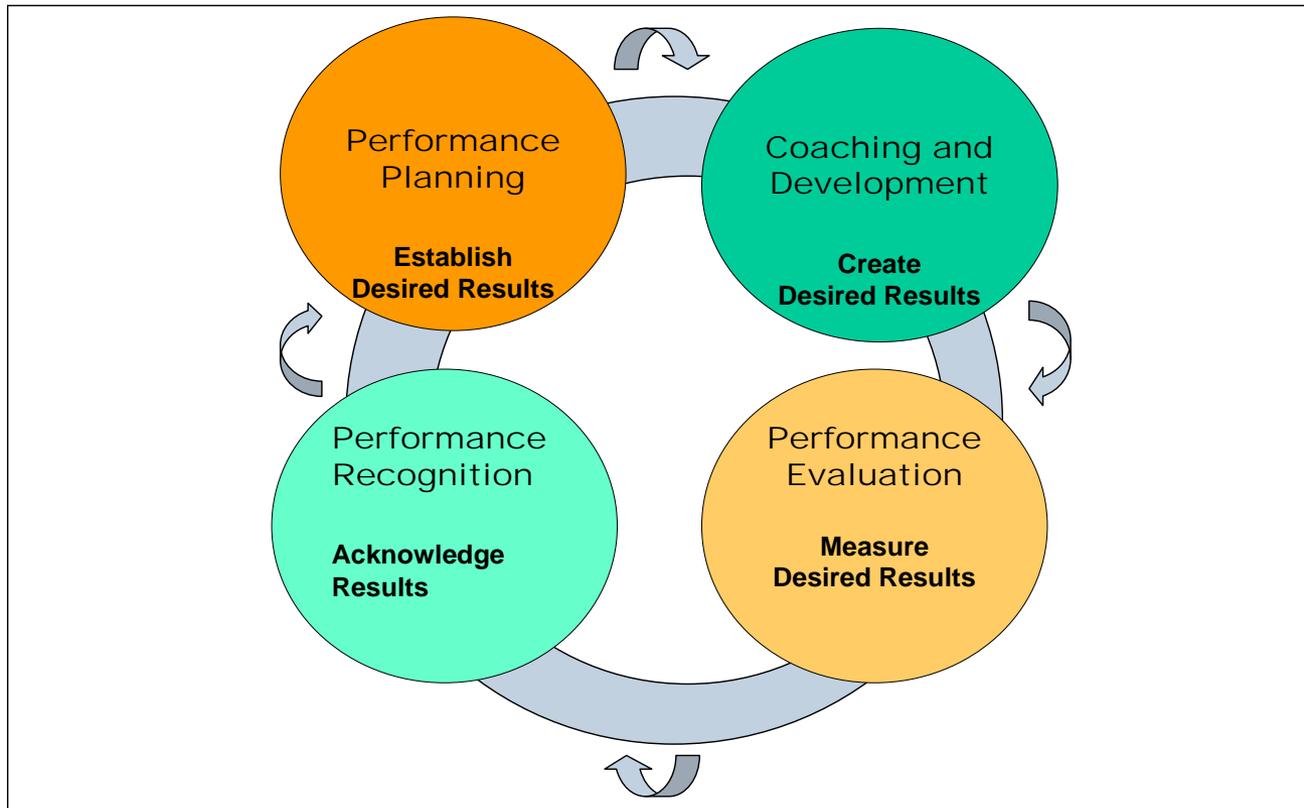
Evaluation Meeting (cont')

- Review ratings and cite examples
- Obtain agreement on action plans
- Summarize major points
- Give employee opportunity to make any other comments
- Express confidence that employee can maintain and/or improve performance
- Forward to and/or meet with manager





Performance Management 4-Phase Model



Phase 4: Recognizing Performance



Motivation

Determine what motivates your staff

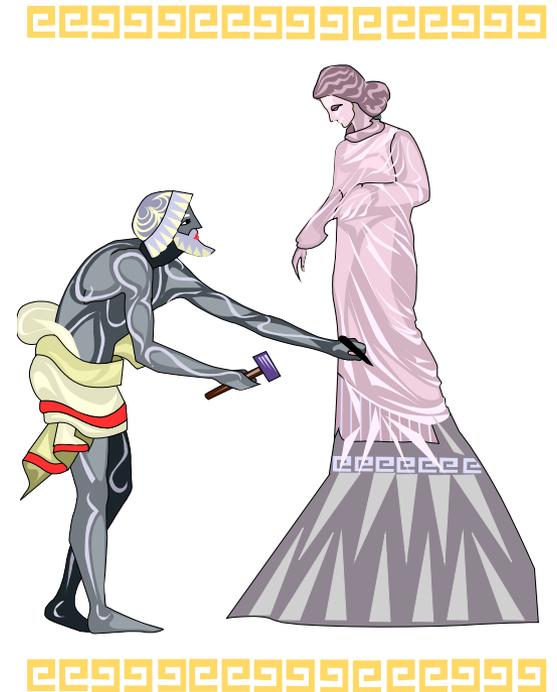
- Work itself
- Advancement
- Responsibility
- Salary and benefits
- Social relationships
- Recognition



Phase 2: Coaching & Development

Motivation: Pygmalion Effect

- Self-fulfilling prophecy
- Express confidence and high expectations
- Don't be surprised by high performance
- Share the rewards
- Inspire others with "sight triggers"



Level of Needs

- ⑩ **Physiological:** Pay
- ⑩ **Safety/Security:** Fringe benefits and seniority
- ⑩ **Belonging/Social:** Unions, informal work groups, offices, departments and task forces
- ⑩ **Self esteem/ respect:** status symbols, recognition, influence
- ⑩ **Self-Actualization:** task competency, growth, achievement



Phase 4: Recognizing Performance



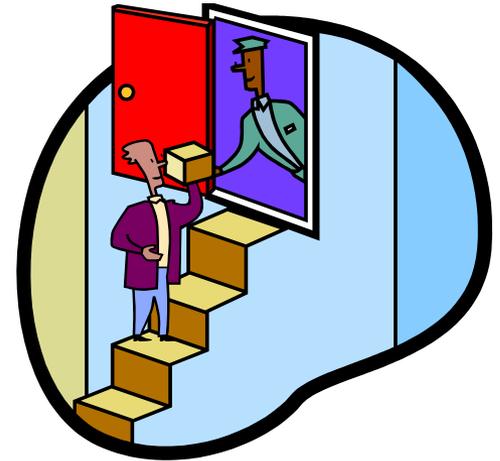
Benefits of Employee Recognition

- Re-enforced behavior tends to re-occur
- Encourages others to excel
- Increases productivity when done genuinely, fairly and frequently
- Helps to create a cohesive work team
- Increases organizational commitment
- Gains employee respect for manager



Non-monetary Rewards

- **Flexibility**
 - **Tele-work and flexible schedules**
 - **Freedom in approach to work**
- **Achievement**
 - **Additional roles and responsibilities**
- **Personal Growth**
 - **Developmental opportunities**
 - **Ways to gain marketable skills**
- **Challenging Work**
 - **Interesting/visible projects**
 - **Opportunities to improve/innovate**



see handout

Rewarding Employees:

- Handwritten Note from Manager
- Make Work Fun
- Help People Connect
 - Introductions to key staff, field trips
- Reward Effort as well as Success
- Wall of fame
- Visual Recognition



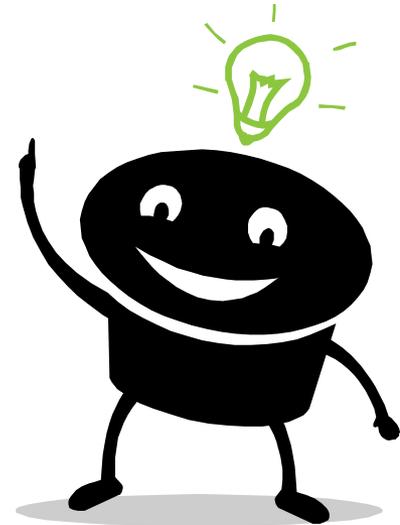
Consequences

- Be sure to follow through with actions necessary to reward or correct the behavior
- Focus on job related, not personal issues
- Understand that employee has earned the reward or correction and were given a fair opportunity to meet expectations
- Don't approve salary increases except for truly satisfactory performance



Performance Evaluation Tips

- Clarify expectations and evaluate employees based on expectations
- Monitor all areas of behavior
- Define the review period
- Use interim evaluations more frequently



Be sure that rating is consistent with discipline and any need for performance, conduct, and/or attendance improvement is expressed



Common Performance Evaluation Mistakes

- Giving satisfactory rating when there have been disciplinary action(s) during the period
- Failing to weigh the importance of the action (s) against the rest of the performance
- Failing to evaluate performance based on the whole rating period
- Failing to have adequate documentation to justify ratings

