

CITY OF BOULDER, CO

2019 Leadership ICMA
Capstone Project

ENHANCING PERFORMANCE DEVELOPMENT

Table of Contents

- Executive Summary 2
- Introduction 3
- Background 4
 - Why Now?..... 4
 - Human Resource’s Pilot 4
 - Group Interview Summary 5
 - Assessment of Current Process 7
- Leading Practices..... 11
- Recommendation 14
 - Create a Culture of More Frequent Conversations..... 14
 - Adopt a City-wide Annual Employee Development Cycle* 14
 - Develop Performance Development Trainings*..... 16
 - Provide an Employee Development Toolkit*..... 17
 - Implement Citywide Performance Development Software* 18
- Implementation 19
- Appendix..... 20

Executive Summary

The City of Boulder seeks to enhance their employee evaluation process by shifting their perspective of performance management toward performance development. A successful transition would increase employee engagement and ultimately improve the culture throughout the organization. Performance development recognizes that employees are no longer looking for a boss, they are looking for a coach. This coach needs to help provide job clarity and priorities, ongoing feedback and communication, opportunities to learn and grow, and accountability.¹ While both private and public organizations are experimenting with varying approaches ranging from ratingless evaluations to getting rid of performance evaluations all together, researchers are finding that there is not one silver bullet that will help an organization easily transition through this culture shift. The common theme found amongst the organizations working to improve their performance development processes is that *more frequent, meaningful conversations is the key to success*. Focusing on this one key element by providing employees with the tools and training to embrace and practice this component of the performance development process will ultimately lead to effective change.

After processing the feedback from both the senior leadership in the City of Boulder and the needs, wants and expectations of employees, the Leadership ICMA (LICMA) Team developed recommendations for the City that aim to address the following needs:

- An environment where conversations are more frequent, better tracked and yet less of a burden for managers
- A more equitable, consistent and transparent process across the organization
- Training opportunities to better inform managers and employees of the performance development process, opportunities and requirement
- A software tool to better manage, track and streamline the process

The LICMA Team developed recommendations to address each of these needs in a way that creates consistency for managers, that ultimately saves time, and that teaches the value of the employee development process. The LICMA Team hopes that this in turn will help spark the shift from performance management to performance development. By working through a *cyclical annual process*, the burden of one-time reviews is spread out over the course of the year through *more frequent conversations and real time feedback* that is targeted to a specific focus area of performance development. By *providing employees tools and trainings* to help employees launch more meaningful conversations, the feedback process becomes less burdensome and a routine part of the relationship between an employee and a supervisor. Furthermore, the tools and trainings will aim to create more equity and clarity across the organization about the performance development process.

¹ <https://www.gallup.com/workplace/231620/why-performance-development-wins-workplace.aspx>

Introduction

City of Boulder requested the assistance of the LICMA Team to evaluate and gather employee feedback on the shortcomings of the current performance management system and provide recommendations for enhancing the employee performance development process. Specifically, the City of Boulder requested the LICMA Team provide input on leading performance management practices that could include, but might not be limited to, goal setting, real-time 360 feedback mechanisms, year-end reviews, pay for performance models, program governance, impacts to culture, required administrative resources, and/or the corresponding technology tools. The City of Boulder hopes the recommended strategies will foster employee relationships, reduce administrative burden while improving the frequency and timeliness of feedback, and create a clear and innovative performance development process that meets the evolving expectations of today's employees.

The LICMA Team took a holistic research approach to learning about the City of Boulder's existing practices, discovering what the hopes for performance development look like from both the employee and supervisor perspectives, researching what leading practices are emerging, and discovering performance development methods other organizations in both the public and private sectors have implemented.

The LICMA Team started by reviewing documentation on the City of Boulder's current processes and the results from employee engagement surveys provided by the Human Resources Department. In February 2019 the LICMA Team traveled to Boulder to gather feedback on the current and desired state of the performance management process from representatives of all levels and departments within the City. The City of Boulder Human Resources Department and LICMA Team deployed a survey in late March and early April 2019 to give all employees the opportunity to provide input. Through these conversations and survey feedback, various themes emerged that were consistent with what senior leaders had heard anecdotally across the organization as well as through previous employee engagement surveys.

The LICMA Team also conducted research on leading practices in and outside the public sector which included a literary review as well as phone interviews with representatives from other cities who have implemented innovative practices. In this report, the LICMA Team highlights successful practices that the City of Boulder already employs as well as identifies opportunities to enhance the current process in order to help the City accomplish its goal to shift from a performance management to performance development process.

Background

Why Now?

The City of Boulder is already going beyond most local governments in terms of their performance management process. However, in order to remain engaged and continually challenged, today's workforce wants a clear path for career development. The retention rate in Boulder is approximately 88% compared to industry standards of 85%.² However, with 21% of the City of Boulder workforce eligible to retire in the next five years, it is important for the City to develop and maintain a culture that supports the wants and expectations of today and tomorrow's workforce.³

Based on consecutive years of data from surveys, conversations, and group interviews, senior leaders at the City believe that employees are ready for and desire this change. These leaders repeatedly stated that employees feel that the current system is not very meaningful while remaining incredibly time-consuming and administratively burdensome; this sentiment was validated by employee statements during the group interviews. Senior leaders and Human Resources staff believe that now is a good time to improve the process in such a way that supports the needs of both managers and employees to further the City's vision of service excellence for an inspired future.

Human Resource's Pilot

Prior to the engagement of the LICMA Team, the Human Resources Department reviewed annual Employee Engagement Survey results and determined that the current process:

- Does not drive employee growth – it provides dated feedback; lacks insights for improvements throughout the year; only results in activity once or twice per year
- Has too much documentation done too infrequently; it takes a high level of effort once or twice a year with no formal tracking progress in-between those times
- Is too subjective – merit increases and norming are perceived as inequitable, too subjective, and lacking transparency
- Has ineffective timing – timing of current cycle does not enable goal setting in a timely manner⁴

Based on this feedback, HR evaluated multiple performance development tools and selected *Small Improvements* as a tool to pilot within the HR department beginning in early 2019. The hope for using this tool is to develop a new process that could be used by all management and non-union employees as a part of the 2020 performance cycle.⁵

² <https://www.bls.gov/news.release/pdf/jolts.pdf>

³ City of Boulder Employee Data, Thursday, June 13, 2019

⁴ City of Boulder Performance Development Pilot Power Point

⁵ City of Boulder Performance Development Pilot Power Point

Ultimately, it is HR's goal that the pilot program will result in a tool that provides for:

- Employee empowerment, "You own your own career"
- A culture of ongoing feedback and open communication focused on employee growth
- Efficient, flexible processes utilizing an innovative tool customizable to our culture
- Simplified performance review process
- Ease of administration
- Visibility into career growth, succession planning and flight risks⁶

If the pilot determines that the selected platform meets the needs of the organization, a request for proposals for a human resources information software and/or performance development tool that meets the criteria listed above and/or any additional criteria gleaned in the LICMA Team's findings and recommendations would be issued for Citywide implementation.

With the selection of the *Small Improvements* tool for the pilot, the City requested the Team confirm the feedback and concerns the City was hearing was consistent across the departments and throughout varying levels in the organization.

Group Interview Summary

In February 2019, the LICMA Team visited the City of Boulder and conducted nine group interviews, with a total of 75 employees, to gather insight into the current performance management process and obtain a better understanding of the needs, wants and expectations of employees. The Team asked the groups the following four questions to begin a dialogue about the current process and how it could be improved:

- What word comes to mind when you think about employee performance management?
- What is one or two things that works well in the current process?
- What is one or two things you wished worked better?
- What ideal components would make up a performance development program?



Employee Performance Management

The words that came to mind for employees when thinking about employee performance management were largely negative. Managers and supervisors had the highest number of positive associations, with 44% speaking favorably. Individual contributors had the least positive associations with the process, with 85% noting words with negative connotation. The time consuming and tedious nature of the current employee performance management process stood out as reoccurring themes among all the groups.

⁶ City of Boulder Performance Development Pilot Power Point

When asked what works well in the current system many employees stated that the norming process, conversations between managers and employees and goal setting were positive elements of the current process.



What Works Well



What Could Be Improved

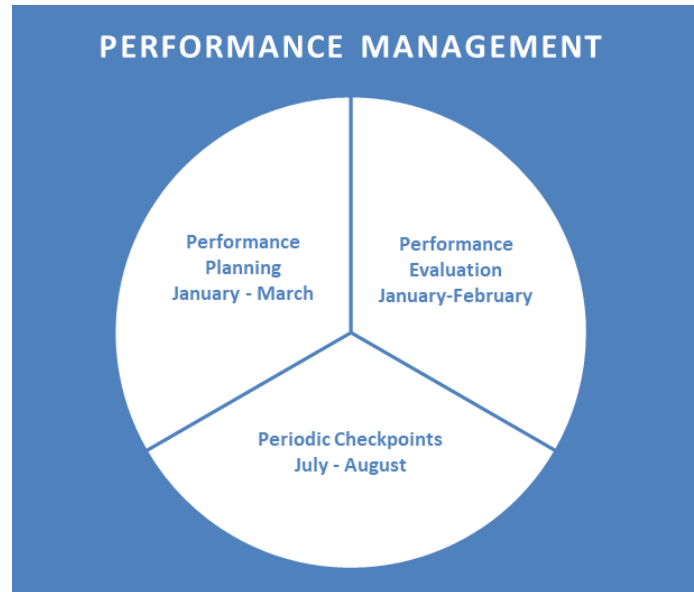
When asked what could be improved, employees largely agreed that a new software tool was necessary, the rating system should be amended, there could be more consistency with the process, and a need for more frequent conversations.

Through the conversations several themes emerged, which were largely consistent with the feedback provided to the team from the results of the 2017 and 2018 employee engagement survey and guided the development of recommendations in this report. The following key areas for improvement highlighted the need for:

- An environment where conversations are more frequent, better tracked and yet less of a burden for managers
- A more equitable, consistent and transparent process across the organization
- Training opportunities to better inform managers and employees of the performance development process, opportunities and requirements
- A software tool to better manage, track and streamline the process.

Assessment of Current Process

The City of Boulder has put extensive thought into the current performance management process. It has been revamped many times over the years, the last time was more than five years ago when the City went to a common review date along with a pay-for-performance merit system; at this time the City eliminated the checklist evaluation to provide a qualitative evaluation that would be meaningful to the employee and support ongoing development. The current process was set up to formally engage in conversations twice a year, rather than one annual evaluation. Feedback from employees suggests that while more frequent conversations might be occurring in some departments, most managers and employees are still focused on the annual review.



Key Dates for Performance Evaluations:
BMEA and Management/Non-Union employees with the March 1 Common Review Date
Manager/Supervisor Checklist

Confirm Due Dates with Your Department	December - January	January	February	By March 1
Getting Started	Coaching Support	Norming	Meet with Employee	Finishing Up
<input type="checkbox"/> If applicable, collect 360's, a self-evaluation from the employee and/or previous feedback. Here is the link to the form: Self Evaluation Form <input type="checkbox"/> Complete draft evaluations and assign rating using: Performance Indicators <input type="checkbox"/> Prepare for norming sessions <input type="checkbox"/> Complete the 4-tier rating form on the Online Performance Review (OPR) <input type="checkbox"/> Schedule evaluation meetings with employees for February	<input type="checkbox"/> If needed, schedule a 30-minute coaching session with the Human Resources Business Partner assigned to your department <input type="checkbox"/> Participate in Performance Matters training, if new <input type="checkbox"/> Draft key performance messages that support overall performance rating	<input type="checkbox"/> Participate in norming session with your department. (Your department will determine the norming dates.) <input type="checkbox"/> Finalize evaluations and prepare for the conversations with employees <input type="checkbox"/> Get department approval of final ratings <input type="checkbox"/> Department submits norming spreadsheet to HR Business Partner by the end of January <input type="checkbox"/> Initiate goal setting conversation for 2019	<input type="checkbox"/> Performance evaluation conversation with employee <input type="checkbox"/> Engage in professional development and career discussion for next year <input type="checkbox"/> Document new goals for next year in OPR <input type="checkbox"/> Share expectations of supervisors through the Leadership Accountability Standard in the OPR	<input type="checkbox"/> Select the "Submit" button in the OPR <input type="checkbox"/> Print out the PAF and public summary form and complete the signature section <input type="checkbox"/> Email the signed forms to HRsubmitforms

The Performance Planning and Evaluation is the most complex part of the process and provides for some variation between departments; however, all departments have the same review date of March 1st. While there was varied feedback about a common review date, many found it very useful. Having a *common review date* enables the City to develop a more cyclical process that focuses different resources at different times of the year, and the LICMA Team believes this is of great value and *should be retained as part of the City's performance development process.*

One of the unique attributes of the City of Boulder’s evaluation process is the norming sessions. In the norming sessions, supervisors meet with other supervisors of employees in similar classifications to discuss and share the rationale for the performance ratings given to each employee. The goal of these sessions is to provide consistent rating of employees, to provide for additional perspectives in order to contribute to the objectivity of the ratings guided by performance indicators in hopes to avoid potential rater biases.⁷

The norming process came up during many interview group discussions with some employees naming it as an element of the current process that worked well and some listing it as an area they wished worked better. Interestingly, those at lower levels of the organization did not seem to have a good understanding of the norming process and its intent, while directors and senior leadership, people who recognized the purpose, saw great value in the process. The LICMA Team believes the norming process adds value and *suggests the City retain the norming process while making it more transparent*. Transparency will be enhanced as supervisors and employees build trust and rapport through more frequent conversations and by continuing to teach the norming purpose and process in more trainings and conversations between supervisors and impacted employees.

Based on an employee’s performance rating the employee may receive a merit increase. The pay for performance matrix was developed to incentivize employees to do their best work and reward those who excel. The actual percentages are developed annually based on budget indicators, and an updated matrix is provided to supervisors each year.

2019 Management Merit Matrix

Performance Rating	Position in Salary Range				Bonus
	Lower Third	Middle Third	Upper Third	At/Over Max.	
Exceeds our High Expectations	6.0%	5.0%	4.0%		Up to 2.0% Bonus
Fully Meets our High Expectations	4.5%	3.0%	2.5%		Up to 1.0% Bonus
Meets Core Responsibilities	2.0%	1.0%	1.0%		0%
Does Not Meet Expectations	0.0%	0%	0%		0%

Employees’ merit increases are based on a combination of their performance rating and their relative position within the salary range, as depicted in the Management Merit Matrix. The City of Boulder has not provided cost of living adjustments since the evaluation process was last revamped; however, based on contract negotiations, salary scales increase on a fairly regular

⁷ Performance Management Webpage (intranet pdf)

basis. Additionally, from time-to-time the City conducts classification and compensation studies and pending those results, salary scales may be adjusted based on market conditions. Feedback from employees lead the LICMA Team to believe that people find the Management Merit Matrix process inequitable and unfair in that people doing the same work and getting the same rating can get a different percentage increase based on where they are on the salary scale. While the HR team explained the intent of the matrix is to accelerate pay increases for employees making less money, that objective does not seem to be clear and/or seem fair to many employees. The LICMA Team suggests the City of Boulder either *work to provide clarity to employees on how and why the Merit Matrix exists* so employees understand the intent behind the decisions to provide greater percentage increases to those with lower salaries; **or** *simplify the pay for performance delivery process* by removing the relative position within the salary range, thus making increases consistent for employees with the same rating.

The current performance rating scale contains four levels and is referenced in the Management Merit Matrix. Many supervisors admitted to giving their employees higher ratings in order to ensure their employees received a salary increase each year to keep up with the high cost of living in the Boulder area. Employees on the other hand expressed confusion at the differentiation and description of each rating level as well as frustration that different employees received different ratings for similar types of work, despite the norming process.

The City may want to consider redefining the rating scale in a way that clearly shows the success at each level (especially the traditional “meets core responsibilities” rating) and to clearly distinguish the top levels as truly exceptional performance. The following example of a rating nomenclature was highlighted in an article published by the Society for Human Resources Management:

5 - Distinguished Performance and Role Model Status:

Clearly and consistently demonstrates extraordinary and exceptional accomplishment in all major areas of responsibility. Performed above and beyond expectations under exceptional circumstances during the review period. Others rarely equal performance of this caliber in similar roles.

4 - Superior/Highly Effective Performance:

Performance is continually and consistently superior and regularly goes beyond what is expected. An exceptional contributor whose performance exceeds expectations on a consistent and sustainable basis.

3 - Fully Successful/Effective Performance:

Performance consistently meets the critical requirements of the position, continually achieves preset goals and performs with distinction. Incumbent performance is reliable and consistent in adding value to the work unit.

2 - Partially Successful Performance/Needs Improvement:

Performance does not consistently meet or occasionally falls below what is required of the position; improvement in specific areas is required.

1 - Unsuccessful/Unacceptable Performance:

Performance fails to meet minimum expectations for this role, and immediate and sustained improvement is required.⁸

The LICMA Team believes that greater employee buy-in to the process can be achieved by better communicating the “why” behind the rating scale and by amending the way the current pay for performance system is set up. While the City of Boulder and the LICMA Team ultimately agreed that a full analysis of the pay for performance system is beyond the scope of this project, the LICMA Team believes the *City should continue to provide pay for performance but conduct a full analysis of options for pay for performance* to determine a system that best fits the City of Boulder’s current and future needs.

⁸ <https://www.shrm.org/resourcesandtools/hr-topics/employee-relations/pages/viewpoint-how-to-redesign-your-performance-appraisal-template.aspx>

Leading Practices

The LICMA Team conducted research to determine the leading practices occurring in the field of performance development. The research evaluated both public and private sector organizations. While both cities and corporations have been experimenting with different types of performance development techniques, the consistent trend among both sectors has been a focus on more meaningful real-time and ongoing feedback.

Few local governments in the United States have successfully overhauled the standard performance management system that has typically included little more than an annual performance evaluation between a manager and employee. These entrenched systems have long focused on looking backward over the past year to evaluate the employees' ability to achieve task-oriented goals and tying their annual salary increase to these activities. Most employers and employees would agree that these processes are not very meaningful and are often a "check the box" kind of conversation.⁹ Current trends in employee development focus on frequent conversations with real time feedback that enables the annual review to be a time look forward, rather than backward, highlighting employee strengths and areas of improvement for development in the future.¹⁰

The Harvard Business Review looked at the history of performance management in the United States from World War I to the present. They concluded that the trends have swung back and forth on a pendulum between accountability and development. Factory jobs, flatter organizations, and times when the economy has struggled necessitated more accountability. Whereas the research work of McGregor in the 1950s was the first to shine a light on how workers are intrinsically motivated. This combined with the changing nature of work over the last 10 years has led to more focus on development. The article closes by calling attention to a "third way" which is a hybrid that has elements of both. Intel, Deloitte, Medtronic, and Price Waterhouse Coopers are examples of companies that are navigating this "third way". After a handful of years of not having formal reviews, they have shifted back to a formal review while keeping frequent conversations. The shift back to a formal review was in part driven by employee demand.¹¹

In 2016, World at Work, the leading nonprofit professional association in compensation and total rewards, gathered feedback and data from 244 organizations that they considered to be using cutting-edge performance development practices. One of the top three practices World at Work discovered is frequent discussions with ongoing performance feedback. A vast majority (97%) of the organizations focus on ongoing and real-time feedback because they have found that:

- It helps build positive relationships between managers and subordinates that make performance conversations more timely and likely to occur;
- Regular meetings lead to more real-time problem solving;

⁹ <https://www.gallup.com/workplace/215927/performance-management.aspx>

¹⁰ <https://www.worldatwork.org/docs/worldatworkpressreleases/2016/09-sep/cutting-edge-practices-in-performance-management.html>

¹¹ <https://hbr.org/2016/10/the-performance-management-revolution>

- It adds a layer of validity to performance reviews and therefore a more effective pay for performance system;
- There is a better understanding of employee performance, expectations and the challenges; and
- It can create a positive culture of feedback and motivation that helps attract and retain employees.¹²

Adobe revamped their performance management process in 2012 to a “Check-In” system whereby quarterly one-on-one meeting between the supervisor and employee are a major component. The company touts these as ongoing, informal dialogues where there is no written review or documentation. In addition, they shifted to a ratingless annual review as part of their performance management system. They credit being able to make this shift due to the ongoing dialogue that was occurring during the year. There were fewer surprises when annual compensation decisions were made as employees had a better idea of where they stood regarding performance.¹³

Adobe is just one of many well-known companies that have recently revamped their performance review processes; GE, Cargill, Eli Lilly, Accenture, and Google enhanced their processes to make reviews better for all parties. While each company has done something a little bit different, the one element that is consistent across all five is a focus on feedback.¹²

Google’s VP of People Analytics and Compensation, Prasad Setty, delved a little deeper to explain their philosophy “Traditional performance management systems make a big mistake. They combine two things that should be completely separate: performance evaluation and people development. Evaluation is necessary to distribute finite resources, like salary increases or bonus dollars. Development is just as necessary so people grow and improve.”¹³

In the public sector, the Town of Danville, California has moved their performance appraisal process to one focused on employee growth. In order to achieve this, each employee is measured in three areas: technical performance, professional development, and soft skill development. One of the key drivers of this is the four one-on-one meetings that are required each year between supervisor and employee.

The City of Walnut Creek, California has placed the focus on a “coaching-oriented workplace”. A vital component of this is supervisors conducting at least four coaching sessions during the year with employees. Both employees and supervisors attend extensive trainings that stress the importance of continuous feedback, effective listening, and career conversations so each employee better understands their role in the workplace.

The City of Fort Collins, Colorado went to a Quarterly Performance Alignment (QPA) process in 2015. The QPA process objectives as stated in the QPA Process Guide are:

- Timely and meaningful feedback rather than a single annual evaluation

¹² <https://www.worldatwork.org/docs/worldatworkpressreleases/2016/09-sep/cutting-edge-practices-in-performance-management.html>

¹³ <https://www.adobe.com/check-in.html>

- Simplified performance evaluation process
- Establish a clear line of sight through metrics on key processes to help employees see how they contribute to the success of the City
- Bring feedback from multiple perspectives into the process
- Foster service to the community through measurable, attainable goals that link to strategic priorities
- Clear linkage between performance management and pay process

The QPA relies on both employees and supervisors to be effective. Supervisors report that they now spend less time and provide more quality feedback than with the previous pay for performance process.¹⁴

San Mateo County, California is now in the second year of an experiment involving 600 of their 5,000 employees that abolishes annual reviews, doesn't include a rating component, and encourages constant communication between supervisors and employees, including meetings every other week. One indicator of success of the program: initially it started with 450 employees and was increased to 600 after the first year. As its popularity and success continues to grow more departments will be added each year.¹⁵

¹⁴ City of Fort Collins 2015 QPA Process Guide

¹⁵ <https://www.governing.com/topics/workforce/gov-employee-evaluation-performance-review-appraisal.html>

Recommendation

Create a Culture of More Frequent Conversations

One of the key areas for improvement noted in the City of Boulder’s 2017 and 2018 employee engagement surveys and the group interviews conducted by the LICMA Team is a lack of real-time feedback and that conversations on employee performance and development are too infrequent. While some departments are employing quarterly check-ins, most are still focusing on an annual conversation at review time and “rubber stamping” the required mid-year check-in. While more frequent check-ins between employees and supervisors are important, so is the content of these discussions. When creating a culture focused on performance development, the conversations need to address more than task related objectives. Supervisors are often concerned that more frequent conversations will take more time. However, many managers are already meeting with employees on a regular basis to check-in on tasks. Some of these conversations can easily be shifted to also discuss performance development. Furthermore, time will be saved during the annual review process as major discussions have already taken place and logged as employees received real-time feedback. Additionally, the trust and rapport that is developed between the supervisors and employees during the conversations begins the shift toward more meaningful and candid interactions. The shared responsibility of initiating and preparing for these conversations becomes more of an equal partnership as employees gain a better understanding of the purpose, intent and benefits of fully participating in the dialog. The following are four recommendations the City of Boulder could implement to foster more frequent conversations.

Adopt a City-wide Annual Employee Development Cycle.



The LICMA Team recommends that the City of Boulder implement an Annual Employee Development Cycle that has four focus areas. While the City can determine which focus areas are the best fit for the organization at any given time, this report will use the following as an example of how quarterly themes can be used: Professional Development, Team Work, Core Values, and Tasks. Each quarter, at a minimum, the supervisor and employee will meet, and the main topic of conversation will be determined by the quarter's theme. Supervisors would also check-in with the employee on the other three topic areas to see how things are progressing each quarter. During each quarter, employees and their managers would discuss, develop and assess progress on their focus area-based goals based that are developed through Boulder's existing goal setting process. The goals should be Specific, Measurable, Attainable, Relevant and Timely (SMART), and new goals would be developed each year during the relevant quarter. These conversations and goals would be noted in *Small Improvements* or other selected software and the answers to the focus questions would become a part of the annual evaluation; all the feedback would be rolled into the annual evaluation and submitted on the common review date. The development cycle process provides an opportunity to spread the employee evaluation and its components (self-evaluation, peer or 360 review or feedback, etc.) over the course of the year instead of evaluating all the elements needed to create a meaningful evaluation at the same time. The quarterly focus area would be enhanced by aligning existing and new trainings and development opportunities to the quarterly theme.

Q1 - PROFESSIONAL DEVELOPMENT

Both the supervisor and the employee would bring professional growth goals along with ideas for trainings, conferences, and other professional development opportunities that would help achieve these goals. Questions for discussion could include:

- Which new responsibilities would you like to take on in the next few months and years?
- Which skills would you need to refine to help you achieve these goals?
- What kind of projects would you like to be involved in more, to help you with the above?
- Are there any learning opportunities you'd like to pursue?

Q2 – TEAM WORK

During this quarter teams would evaluate how they work together and how each employee supports one another. The employee and supervisor would also solicit 360 reviews from a range of people from at levels of the organization. At the quarterly meeting, the employee and supervisor would discuss the feedback and create action items for the employee's continued professional growth and development over the next year relating to team work. Questions could include:

- If you led our next team project, what would you do differently?
- What do you see as our team's greatest strengths and weaknesses?
- What could we do to address them?
- What would others on the team be most likely to come to you for help?

The LICMA team recognizes that a full 360 review may not be attainable in one year and is dependent on a well-designed tool, software, training, and organizational readiness. The employee could start with peer feedback in the first one to two years, as a 360 tool is identified and adopted.

Q3 – CORE VALUES

In this quarter the conversations will center around how the employee’s behaviors and soft skills and how those align with the City’s Core Values. Questions for discussion could include:

- Where do you think your skills add the most value?
- Can you think of specific examples where you demonstrated the City’s core values?
- Which core values would you like to continue developing?

Q4 – TASKS

The employee’s self-evaluation and major work objectives for the next fiscal year occur during this quarter. Questions for discussion could include:

- What do you enjoy most and least about your job?
- What project have you enjoyed working on recently, and why?
- What other strengths or skills do you have that you feel are not being utilized?
- What do you like to do in your free time, that could be reapplied at work?¹⁶

Develop Performance Development Trainings

The LICMA Team recommends the City of Boulder further develop training modules for the performance development process with required and elective courses. The trainings and learning opportunities should not be a “one and done” scenario, rather, there should be ongoing continuing education on performance development. Trainings should help employees understand the purpose and value in the performance development process and help them more equitably administer it across the organization. The supervisor trainings should include tactics necessary to ensure the process is meaningful for employees by learning how to lead valuable conversations and becoming better coaches.

These training will help address the concerns of inequities and inconsistencies across the organization when managers and supervisors employ varying processes related to performance management. The trainings will also provide the purpose and intent for employees. Training opportunities should be provided both in person and online. The materials should be provided in the online toolkit described below for all employees to access and use as a reference in order to establish a more consistent processes and enhance transparency at all levels of the organization. An example of training materials from the City of Walnut Creek is included in the appendix.

In order to further enhance the Annual Employee Development Cycle described above, in-person trainings or online webinars should be provided each quarter that align with the quarterly focus area. For example, during the “Team Work” quarter, the City might offer a “Five Languages of Appreciation in the Workplace” or “Strengths Finders” trainings. The City might focus their ethics, sexual harassment or security trainings during the “Core Values” quarter.

¹⁶ <https://blog.impraise.com/360-feedback/what-the-best-managers-are-asking-their-employees-in-1-on-1s>

While the City of Boulder already offers several trainings, they could be updated and messaged to employees through mediums that resonate with today's workforce. Creating new material provides the opportunity to rethink the key messages that are communicated to employees and the format for conveying these themes.

Provide an Employee Development Toolkit

In general, people know that more frequent conversations and real time feedback is more beneficial than a once per year conversation. So why don't people do it? The common response is a lack of time. Providing managers with tools that can help them easily frame the conversations reduces some of the time burden associated with these discussions – particularly for the more difficult conversations. The LICMA Team recommends the City of Boulder create an easily accessible electronic toolkit developed for both employees and supervisors that details the Annual Employee Development Cycle. The toolkit would act as a one-stop shop for employees to access all the support documents they need to effectively participate in the performance development process. Modernizing some of the existing documents by replacing lengthy texts with short videos and highly graphic visuals will go a long way in making these tools more accessible, relevant and useful for employees.

RECOMMEND INCLUDING IN THE TOOLKIT:

- Background video with the “why”
 - Why is Boulder implementing an Annual Employee Development Cycle?
 - Why does this matter to employees?
 - What does the City hope to accomplish? Develop? Become?
- Templates to provide guidance and consistency
 - How to develop work & professional growth goals
 - Self-evaluation forms and suggested questions
 - 360 review forms and suggested questions
 - Instructions on how to create an individual development plan
 - Examples of conversation starters such as:
 - Giving and receiving feedback
 - Managing conflict
 - Goal setting
 - Professional growth
 - Team work
 - City's core values
 - How to handle differences of opinion
- Short informational and instructional documents (highly graphic)
 - Outlines supervisors' and employees' responsibilities as it pertains to the process
 - Examples of how and how not to complete the quarterly reviews
 - Detailed instructions and information on how the norming process works
 - Details on how the annual review impacts employees' pay
 - Instructions and trainings on how and when to use the selected software
 - Instructions / examples of how the quarterly reviews become the annual review
- Resource list including webinars and training opportunities
- FAQs

There are two examples of toolkits in the appendix: (1) Fort Collins QPA Process Guide and (2) Town of Danville Performance Appraisal Toolkit.

Implement Citywide Performance Development Software

There is a clear need for a new software platform to better administer and track the Employee Development Cycle. The tool will make working through the annual cycle less time consuming and easier for both managers and employees to track and provide real-time feedback. The platform selected needs to fit the culture and requirements of the organization. Many organizations first look at their current platforms to determine if there is an add on feature for performance development as using an existing vendor and tool can make the rollout of a new process simpler for employees. However, there are a number of standalone platforms that are tailored specifically to performance development. The City of Boulder HR Department is currently piloting one possible solution, *Small Improvements*.

The LICMA Team recommends the City implement a software platform that includes the following elements:

- Easy and fast two-way conversation tracking
- Goal tracking and progress
- Real time feedback (two-way)
- Kudos from peers and supervisors
- Self-evaluation component
- Peer and subordinate feedback (360) evaluation option
- Easy documentation for opportunities for improvement
- Automated reminders for supervisors and employees

Implementation

Adopting a new software platform is key to fostering and tracking more frequent conversations and real time feedback in a way that is less time consuming for managers. While implementation of this tool could be phased with some departments adopting it earlier, the goal should be for Citywide adoption within three years. It will be difficult to shift to a culture of performance development without having a system in place that makes the tracking and notation elements of ongoing feedback a quick and easy process.

The value behind the shift toward more frequent conversations as part of the ongoing performance development process should be clearly communicated to both employees and supervisors. Managers should be rewarded for engaging in this process in a meaningful way. The recommendations in this report are contingent on or greatly enhanced by providing streamlined and electronic management of the process. The tool-kit and available trainings can be included through this platform or provided on the City's Intranet, but the City should work with their communications team to ensure materials for performance development and management should be easily accessible through one designated location and modernized for viewing on their phone.

Appendix

- City of Boulder Enhancing Performance Development Infographic
- City of Boulder January 2019 Group Interview Summary
- City of Walnut Creek
 - Coaching for Excellence Process
 - Coaching for Excellence Training Program
 - Being Your Best at Work Training Participant Guide
 - Career Conversations Guidelines
- City of Fort Collins
 - Total Reward Quarterly Performance Alignment Process Guide
- Town of Danville
 - Performance Appraisal Toolkit
- San Mateo County
 - Pilot Proposal
 - Initial Results

ENHANCING PERFORMANCE DEVELOPMENT

Performance development is the ongoing process between supervisor and employee of communicating and clarifying how employee growth and development aligns with position responsibilities, and priorities to guarantee mutual understanding and to enhance effectiveness in achieving the City and departmental mission and goals.

The following is a brief synopsis of the recommendations of the Leadership ICMA Capstone Project prepared in 2019 for the City of Boulder on how to create a clear and innovative performance development process.



1 MORE CONVERSATIONS

Employee performance development focused on frequent conversations with real-time feedback, initiated by the employee and the supervisor, enables the annual review to be a time to look forward, rather than backward, highlighting employee strengths and areas of improvement for development in the future.

2 REAL-TIME FEEDBACK

Real-time feedback makes performance conversations more likely to occur, contributes to real-time problem solving, and creates a positive culture of feedback and motivation that helps attract and retain employees.

3 DEVELOPMENT CYCLE

The Annual Employee Development Cycle has quarterly focus areas that could include: Professional Development, Team Work, Core Values, and Tasks. Each quarter, the supervisor and employee meet and discuss development based on the quarter's theme. *See other side for more information.*

4 SOFTWARE TOOL

Implement a new mobile-ready software platform to administer and track the Employee Development Cycle. The tool will make working through the annual cycle less time consuming and easier for both managers and employees to track and provide real-time feedback.

5 DEVELOPMENT TRAINING

Enhance trainings, provide in mediums that resonate with today's workforce, increase frequency for a quarterly focus that aligns with the quarterly theme.

6 DEVELOPMENT TOOLKIT

Modernize the tools available on the intranet to create a one-stop shop for employees to access support documents needed to effectively participate in the performance development process.

7 COMMON REVIEW DATE

Retaining a common review date enables the City to develop a more cyclical process that focuses different resources at different times of the year.

8 NORMING PROCESS

The goal of the norming process is to provide consistent rating of employees and avoid potential rater biases. The City should retain the process, but make it more transparent by increasing trust between employees and supervisors and sharing the purpose and process with trainings and the toolkit.

9 PAY FOR PERFORMANCE

City should continue to provide pay for performance but conduct a full analysis of options for pay for performance, including reviewing the Management Merit Matrix and Rating Scale to determine a system that best fits the City of Boulder's needs.

ANNUAL EMPLOYEE DEVELOPMENT CYCLE

The development cycle process provides an opportunity to spread the employee evaluation and its components (self-evaluation, peer or 360 review, soft skills, etc.) over the course of the year instead of providing feedback once a year. This creates space for ongoing conversations needed to create a meaningful evaluation. The quarterly focus area would be enhanced by aligning existing and new trainings and development opportunities to the quarterly theme.



PROFESSIONAL DEVELOPMENT

Professional growth goals along with ideas for trainings, conferences, and other professional development opportunities would be identified. Suggested discussion questions include: Which new responsibilities would you like to take on in the next few months and years? Which skills would you need to refine to help you achieve these goals? What kind of projects would you like to be more involved in? Are there any learning opportunities you'd like to pursue?

TEAM WORK

During this quarter, teams would evaluate how they work together and how each employee supports one another. The employee and supervisor would also solicit 360 reviews from a range of people at all levels of the organization. Questions could include: If you led our next team project, what would you do differently? What do you see as our team's greatest strengths and weaknesses? What could we do to address them? For what tasks/skill would others on the team most likely to come to you to ask for help?

In this quarter, the conversations will center around how the employee's behaviors and soft skills align with the City's Core Values. Questions for discussion could include: Where do you think your skills add the most value? Can you think of specific examples where you demonstrated the City's Core Values? Which Core Values would you like to continue developing?

The employee's self-evaluation and major work objectives for the next fiscal year occur during this quarter. Discussion questions could include: What do you enjoy most and least about your job? What project have you enjoyed working on recently, and why? What other strengths or skills do you have that you feel are not being utilized? What do you like to do in your free time, that could be applied at work?

CORE VALUES

TASKS

What could be better?



Six Key Themes Emerged:

- PAY FOR PERFORMANCE
- MORE FREQUENT CONVERSATIONS
- EQUITY & CONSISTENCY
- SOFTWARE
- RATING SYSTEM
- TRAINING

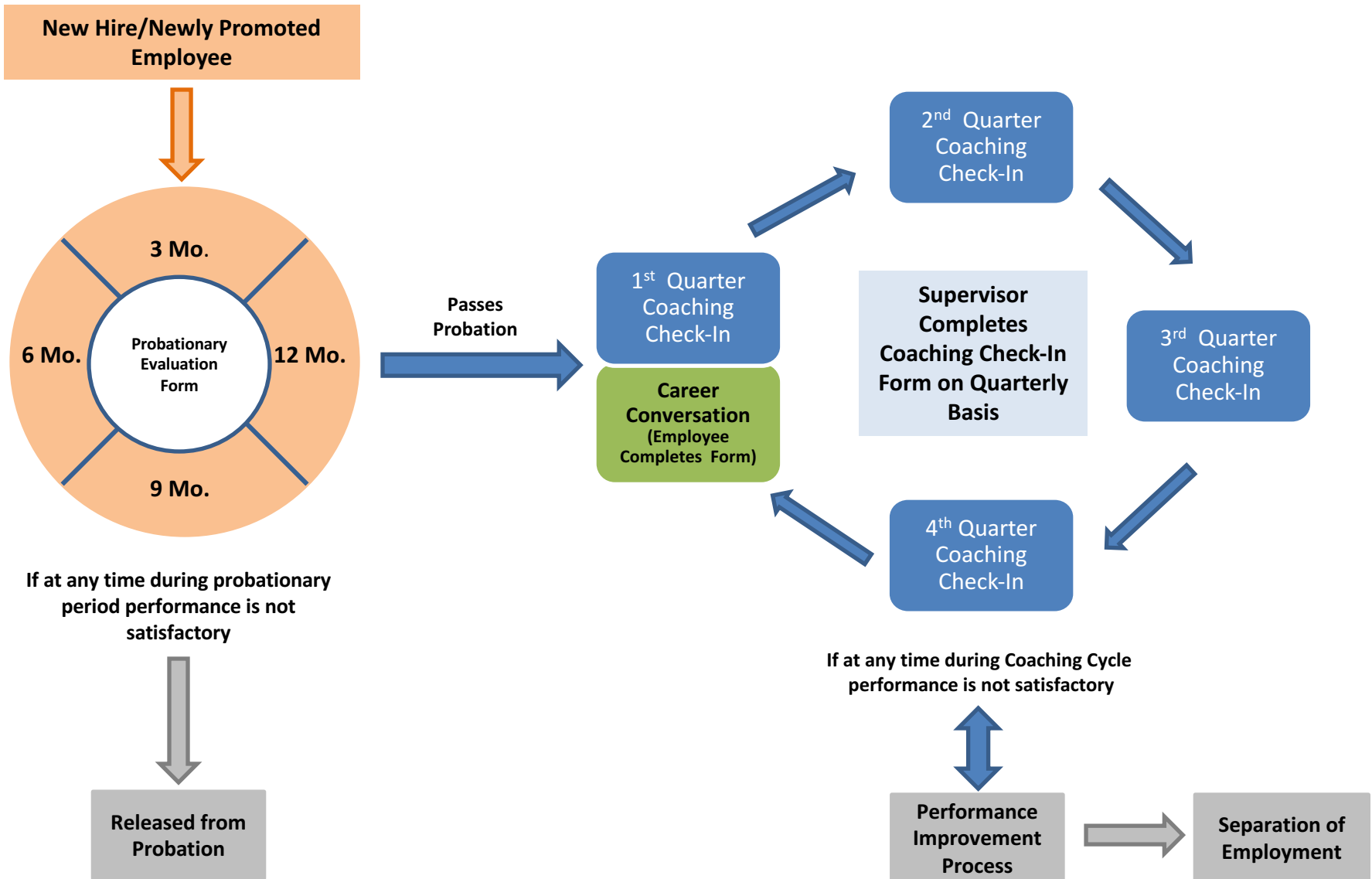
What would an ideal performance development program look like?

Pay for Performance	WHY?
Decouple Pay	Salary increase not in line with perf ranking - "gaming" system to back into compensation
Standard cost of living increase + bonus tied to performance	Absence of cost of living puts more pressure on PFP
Provide rewards of "experience" or professional development that support career growth	Pay is nice but isn't always what motivates people - when there isn't a clear line for advancement, development can at least keep employees engaged - heavy workload and need to prioritize development for high performers to retain
Eliminate graduated merit raise	Merit should be the same whatever grade you get (?)
Bell curve for pay	Need more clear expectations for employees - and who and how to get the highest level

Conversations	WHY?
More frequent coaching conversations	Coaching needs to happen on a continual basis - not once a year - lack of value in annual review process
Greater focus on future - development - goals	Annual process tends to look backward rather than forward
Separate review of past year with goals for upcoming year	Both are important but it doesn't work well when they are tied together
Better tool for tracking and documenting conversations	continual conversations rather than static-point in time
Real time feedback	Need for feedback on the spot as it gets lost in a once a year conversation - needs to be timely
Define process of performing core competencies vs. development/ leadership growth	Need for supervisor training to have different types of conversations based on expectations for tasks vs. leadership
Need more peer to peer or 360 reviews	Supervisors don't always get feedback from their team and need a way for employees to provide feedback to supervisors for accountability
Goal Setting	WHY?
Create consistent objectives across groups with similar roles (class and comp?)	Address issues with equity
Focus on future development	Need to be more forward looking than backward
Goals should tie to organizational objectives	City values work well – structure goals similarly
Equity & Consistency	WHY?
Create more clarity across departments	Departments do things differently- norming doesn't always work
Create more consistency and equity between managers through training	Current system is not equitable and there is a need for greater transparency in the process
Accountability for supervisors to manage performance well	Supervisors are not currently held accountable to consistent standards
Develop guidelines for supervisors	Need for consistency and guidance
Process/tool for 360s	Used inconsistently between departments
Decouple Pay	Inequity of labor unions vs. non-union - PFP undermined with unions
Software	WHY?
More flexible tool	Required form is too restrictive and would create more consistency across departments
Quicker notes on both employee and supervisors for visible feedback	Current system is too time consuming and structured around annual review rather than continual conversations
Use for disciplinary actions as well	Decouple disciplinary actions from performance evaluation (which should be more about development)
Mechanism for two-way feedback	Employees need to share their perspectives as well

Incorporate self-evaluation tool	Currently hard to enter perf review electronically
Incorporate training opportunities	good training exists but could tie to personal growth goals through system - supervisor consistency & accountability - needs to integrate with learning management system
Use to consolidate various HR tools currently used for PM	Tools are disconnected from annual process but could be tied together through system. There are a lot of tools but almost too many
Use for peer to peer feedback	current peer to peer is inconsistent
Incorporate "gratitude" or recognition - peer to peer or supervisor easy way to recognize good work	Gamify the system to keep people interested or motivated through recognition from managers and peers
Use to better define process of performing core competencies vs. development/ leadership growth	Need tools to help tie together core requirements to development
Integration with NeoGov & Munis	Tie to other City systems
Greater Automation & electronic signatures & spell check	Need system with quick entry. Currently multi-step process that requires a lot of manual intervention
Ability to tailor viewing rights	Need to see in-direct reports and past direct reports
Rating system	WHY?
Get rid of rating all together	Norming seems to work within a dept team but not across organization. Lots of norming feedback
Decouple pay from rating	Inconsistency in supervisors - equity issues
Need 3-5 instead of 4 with middle being ok	Meets should not be demoralizing or "C" grade
Group/Team performance Evaluation	Highlights contribution to team
Training	WHY?
Need more or required training for supervisors and managers	Need for consistency, accountability and transparency
Supervision role playing	Need for training
Training for hard conversations	Need exists and people don't do it well

Coaching for Excellence Process*



*This process applies to all regular, limited duration, and at-will employees.

Coaching for Excellence: Day 1

Welcome!

The City of Walnut Creek welcomes you to the Coaching for Excellence Program! The purpose of this program is to empower and inspire YOU, as a manager or supervisor, to employ a coaching style when interacting with your employees, and to conduct “formal” coaching sessions with your staff at least 4 times per year using a simple coaching form. This program is designed to give you ample hands-on practice as a coach!

Objectives

In today’s program you will...

- Meet your fellow cohort members and understand the focus, flow and expectations of this course.
- Review the fundamentals of coaching and discuss some of the benefits of coaching for you, your staff and the organization.
- Learn and practice the core skills of effective coaching: listening, making observations, and asking powerful questions.
- Learn the GROW model of coaching
- Practice coaching

5 Fast Five: What makes a great coach?

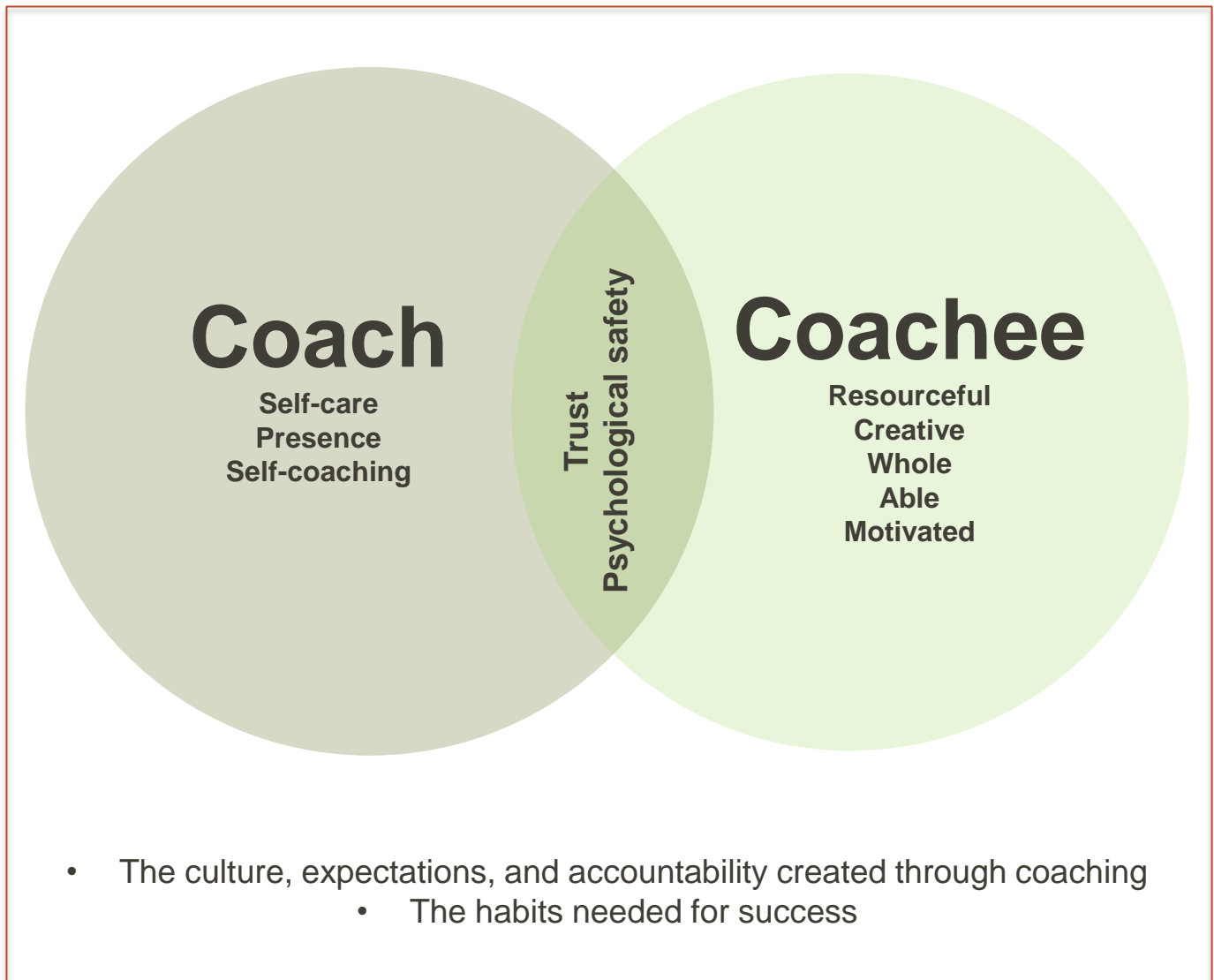
Think of a coach or mentor who made a positive impact on you. What did the person *do and say* that made him/her so great? *Describe the impact* that her/his coaching had on your performance and confidence. Summarize your answers on a flip chart page.

Qualities and Skills of a Great Coach

Use this space to list the qualities and skills of a great coach...



Fundamental Assumptions



Benefits of Coaching

Benefits to the organization

Benefits to you personally

Imagine yourself as a successful coach.

- What does it look like?
- What does it feel like?
- What skills are you using?
- What impact are you having on others?

Coaching Skills Overview



Scenario Builder

Use the space below to write about a few situations in which you may need to coach someone.

- Who might you need to coach?

What is the situation?

- What outcomes might that person be working toward that you could support through coaching?

- What changes might your coachee need to make that you could support through coaching?

Listening, Observing and Asking Powerful Questions



Listening with Presence

Listening is one of the most powerful, productive and under-utilized skills of a leader.

5 Fast Five



What did you notice about the quality of your thinking during the Fast Five exercise?

Listening Effectively for Clarity and Connection

Get Ready to Listen:	Create a “bubble of attention” around the speaker.
Know Your Goal:	Listen to understand, not necessarily to respond.
Encourage the Speaker:	Pay attention, check your non-verbal language and maintain eye contact. “You were saying... tell us more...” “Then what happened?”
Organize Information:	<ul style="list-style-type: none"> • Listen for key ideas • Make an outline in your head • Use mnemonics and enumerators • Visualize
Paraphrase:	Restate your interpretation of the content or the feelings behind the content of the message. Don’t assume! Speaker: First she just didn’t pull her weight around the office. Now she’s actually undermining other people’s work.] Listener: “So you feel that things have been getting worse, is that right?”
Reflect/ Mirror:	Speaker: “I’m overwhelmed by all the calls that have been coming in.” “I hear that you are at your limit.”
Check Perceptions:	“Your tone sounds angry. Am I interpreting that correctly?”
Validate:	“I can hear that you are very upset by this, and I can see why you would be.
Check/Summarize:	“Let me know if I’ve got this right. You said that you are concerned about three things...”
Avoid Spot-light Speaking	A: “I am so tired.” B: “Me too! I didn’t get any sleep last night because...”

Barriers to Effective Listening

- Calling the subject uninteresting before hearing what it is about.
- Formulating counter-arguments while the speaker is talking.
- Listening so closely to the details that you miss the big picture.
- Listening so closely to the details that you miss the *feelings* behind the message.
- Faking attention to the speaker.
- Allowing your emotions to stand in the way of understanding the true message.
- Distorting the message with your own interpretations.
- Allowing your past experiences with a person to dictate your present feelings.
- Being inaccessible.
- Being buried in work.
- Always in a hurry.
- Never checking in (creating opportunities to listen).
- Lack of trust.



Which barriers are strongest for you?
How can you overcome these barriers?

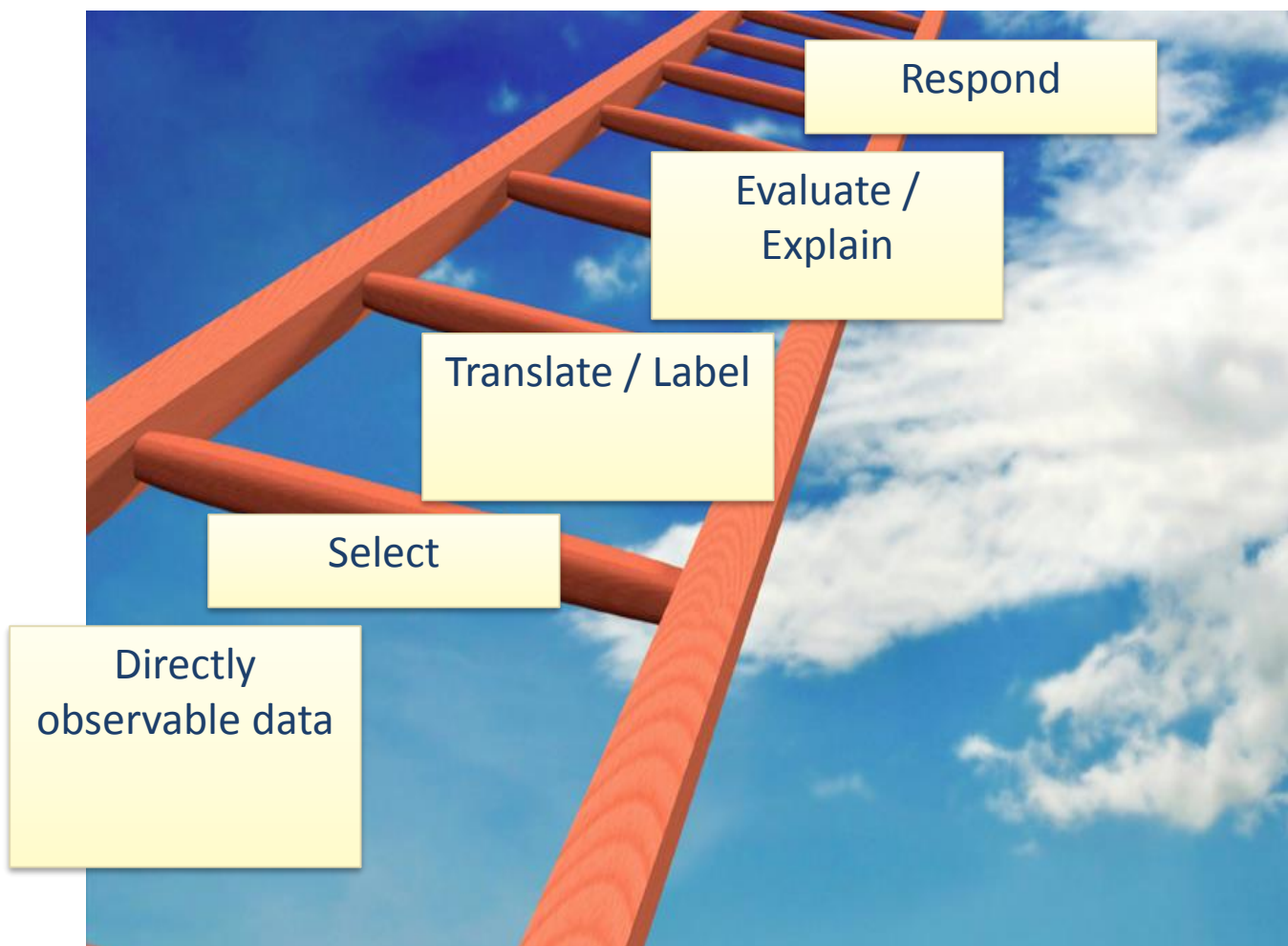
Powerful (and Neutral) Observation

What we observe, and how we label those observations can make a huge impact. Stay LOW on the ladder and opt for neutrality.

Consider the difference between these two descriptions of the same event:

“You were really mean to Shelly at the meeting.”

“I saw you turn away from Shelly at the meeting. Is everything OK?”



Powerful (and Neutral) Observation (cont'd)

Change the following statements to be more neutral and descriptive.
(Fill in the details as needed.)

Original Statement	You Try...
You failed to meet your sales goal this month.	
I thought we agreed that you wouldn't be so rude to our customers anymore.	
Your incompetent and irresponsible actions are putting the City and our citizens at risk!	
You promised that you would stop being so selfish and start pitching in around the house!	
You NEVER do what you say you will do.	
I thought we agreed that we would all provide meeting agendas in advance. 3 hours before the meeting hardly counts as "in advance."	
Make up one of your own:	

Asking Good Questions

In order to be a good coach...

You need to ask good questions. Use the space below to brainstorm a list of Dos and Don'ts.

Do...

Don't...

Open and Closed Ended Questions

Open: Open-Ended Questions require more thought and the answers provide more information.	Closed: Closed-Ended Questions can be answered with a "yes" or "no."	Command: Command statements are compelling and ask for more detail.
Examples: <ul style="list-style-type: none">• How can we solve this problem?• What are you hoping to accomplish?• What are a few options you see for moving forward?	Examples: <ul style="list-style-type: none">• Do you have a solution to the problem?• Do you think you can accomplish your goal?• Can you move ahead with your plan?	Examples: <ul style="list-style-type: none">• Describe...• Tell me...• Explain...• Help me understand• Walk me through this...

Exercise

Write an open-ended question, a closed-ended questions and a command statement for the following situation: You are meeting with your direct report to learn why they haven't been hitting their daily goals.

Open:

Closed:

Command:

Asking Powerful Questions

What is a powerful question?

A powerful question is one that...

- Illuminates thinking patterns
- Allows the coachee to think and discover for themselves
- Hypothesizes about positive futures
- Doesn't allow the "same old script"
- Illuminates the values and needs that are being served
- Illuminates barriers (real and perceived) that modify our actions

1) Corrective coaching

Imagine you are meeting with a team member who has not completed a task that you agreed would be done. What might you want to ask?

"Have you done it?" Or, "Why haven't you done it?" are two obvious questions.

But both of these questions are likely to provoke defensiveness, and will not create an opportunity for the coachee to learn about his or her own patterns.

Instead, try a powerful question...

- What got in the way of you completing the task?
- What might get in your way if you try again?
- What kind of support would you need in order to try again?
- What will it feel like when it is complete?
- How important is it to complete the task?

2) Aspirational coaching

If a team member wants to talk about an aspiration, you might want to ask all kind of details, but this can feel like an interrogation. Instead, help them examine their own motivations and create a clear mental model of the future and a plan for action.

- Share with me in detail how it will feel to have done it.
- What skills will you be building? What core values and needs will you be meeting?
- What might deter you from achieving your goal?
- What will you do to minimize the barriers?
- What next step will you take?

Asking Powerful Questions (cont'd)

3) Coaching for skill development

Imagine you are hoping to help a team member build a skill. Building a skill means DOING something, and the best way for a person to build a skill is for them to build self-awareness and focus on linking actions to consequences.

If they try a skill for the first time and do not perform it very well, we often want to simply TELL them again how to do it, and what is wrong with the way it was done. This is not helpful, and it puts the coachee's attention on the wrong focal point.

Instead, ask powerful questions that help the coachee develop self-awareness and cause-effect awareness.

- How did it feel when you tried to _____?
- What happened to the _____ when you tried _____?
- Tell me the steps you took and what happened at each step.
- Which step was the most successful? In what way was it successful?
- Which step didn't work? What happened? Walk me through it.
- If you were to try again, what would you do differently? What would you do the same?

4) Coaching to help illuminate thinking

We live in a knowledge economy. Much of our work requires us to think and solve problems. Therefore, do not rob anyone of an opportunity to learn more about their own thinking patterns! When someone comes to you with any sort of an issue, help them reveal their own thinking.

- How long have you been thinking about this issue?
- How important is this issue to you, on a scale of 1 – 10?
- What priority is this issue for you right now? (Top 5? Top 3? Number 1?)
- What are you noticing about your thinking?
- What part are you thinking the most about? The least?
- How clear is your thinking about this issue?

Asking Powerful Questions (cont'd)

5) Coaching to support performance

Imagine a team member is not performing as you would like. Try to resist going straight to the idea that they are unmotivated. Often, people are not performing as expected due to other things, like...

They may be unaware of what is really expected.

- Have you agreed on what the goal looks like (behaviorally)?
- Have you checked their understanding of details like scope of authority and timing?

They may need to develop knowledge or skills to support performance. Consider...

- What might someone need to know in order to do the job?
- What “sub-skills” are required in order to perform?
- Sometimes, secondary skills like an ability to manage time or handle conflict or present in front of others becomes barriers to success.

They may benefit from specific tools that will help them do better. For example...

- Is there a job-aid that might help?
- Would having an additional piece of equipment support success?
- Is there an app for that?

6) Coaching to help illuminate motivation

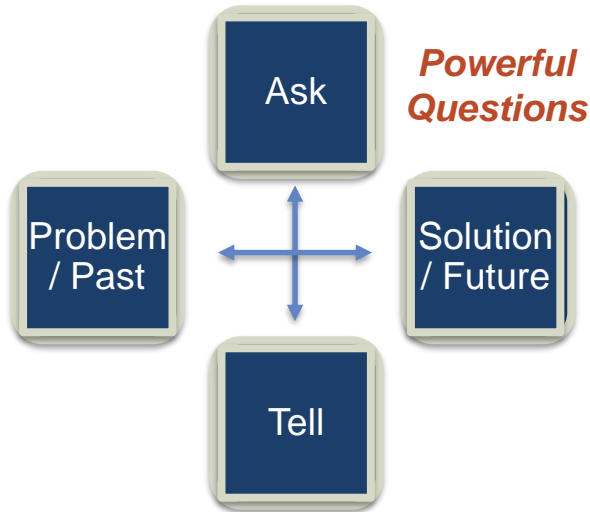
If you have explored the questions above and it appears that your team member has the knowledge, skills and tools to do the job, then it is definitely worth talking about motivation. Think about what “drives” your staff member? What adjustments might help them feel more connected to the project or outcomes?

People are motivated by many things, but here are a few questions for YOU to consider...

- Have you talked about the larger purpose or impact of the job with your coachee?
- *Ask: What impact do you think you might have if you are able to complete this work?*
- Can you give your coachee more autonomy with HOW they get the work done?
Sometimes, we are subtly micromanaging without even knowing it.
- *Ask: Ideally, how and when would you like to tackle this project?*
- Is the task broken down into small tasks so that your coachee can experience some early wins?
- *Ask: Let's break this down into sub-goals. What's the first thing you might do? Then what? Then what?*

Asking Powerful Questions (cont'd)

Powerful questions live in the top right quadrant.



Problem Focused		Solutions Focused
Why didn't you hit your targets?	Vs.	What do you need to do next time to hit your targets?
Why did this happen?	Vs.	What do you want to achieve here? Or, what are you willing to do next?
Where did this all go wrong?	Vs.	What do you need to do to move forward?
Why did you do that?	Vs.	What do you want to do next?
Why isn't this working?	Vs.	What do we need to do next to make this work?

Think of a person / situation in which you might need to coach. Use the space below to brainstorm some of the powerful questions you might want to ask.

Using a Framework: The GROW Model



GOAL

First, ask about the employee's goal, and discuss your goal if needed. Talk about the desired behavior, and ask about the motivation associated with achieving the goal.



REALITY

Next, talk about what is happening now. Find out what your coachee is experiencing, and how they see the gap between reality and the goal. Talk about reality from your perspective if needed.

Determine if there are any competing or conflicting priorities that might get in the way of the goal.



OPTIONS

You might think you know exactly how to proceed, but encouraging your coachee to generate options will help build ownership and can generate new plans. Offer your opinions and suggestions only after they have shared theirs.



WHAT'S NEXT / WAY FORWARD

Seal the deal by determining next steps and planning for overcoming barriers. Make a plan for measurement, follow-up and check-ins.

Tips

- Ask good questions
- Emphasize listening (No lectures!)
- Establish safety
- Ask permission to share
- Maintain or enhance esteem
- Don't judge
- Build trust
- Declare your intent

Powerful GROW Questions

Goal:

- What goal around (task) have you set for yourself?
- Why do you want to achieve this goal?
- What are the benefits to you and the organization?
- How will you know you're successful?
- How important is it for you to achieve this goal?
- What energizes you about this?
- What is the opportunity here?

Reality:

- Where are you now in relation to your goal?
- What barriers or obstacles have you faced, or do you anticipate?
- How does this situation affect you?
- What if we kept things the way they were?
- What are the advantages to changing?
- What would be the disadvantage of NOT moving forward with the goal?

Options:

- How can I help move you from where you're at to where you want to be?
- What's the best/worst thing about that option?
- If you didn't have any constraints (time, budget, etc.) what would you do?
- What other approaches might bring you success?
- What have you tried so far?
- Would you like my perspective?

What's Next / Way Forward:

- When will you start?
- Whose help do you need?
- How can you hold yourself accountable?
- How can I help hold you accountable?
- On a scale of 1-10, how motivated are you to achieve this?
- On a scale of 1-10, how confident are you of achieving this?
- What are the next steps?
- What are the chances of success?
- What challenges do you expect?
- What do you need to know?
- What skills do you need to have?
- What tools do you need?
- What angles haven't we considered?
- What will you do if you get stuck?

Coaching Practice



Get Ready to Coach: Practice Prep

Helping Your Coachee Reach a Goal

- Who will you coach?
 - What outcomes are you seeking?
-

Goal

- What questions will you ask to establish the goal?

- Is there anything that you need to tell?

Reality

- What questions will you ask to find out more about the current reality?

- Is there anything that you need to tell?

Options

- How will you probe about the options that your coachee feels are viable?

- Is there anything that you need to tell?

What's Next?

- What questions will you ask to spark discussion about plans, accountability or measures?

- Is there anything that you need to tell?

GROW Practice

Role Play Preparation

To gain practice, you will take turns as a *coach*, *coachee* (*the one being coached*), and an *observer* of a coaching delegation conversation. Put each group member's name in the grid below to guide you through each round.

	Round 1	Round 2	Round 3
Name: _____	Coach	Coachee	Observer
Name: _____	Observer	Coach	Coachee
Name: _____	Coachee	Observer	Coach

Tips for Giving Feedback

When you are the observer, watch carefully for things that the coach does particularly WELL. Be specific so that you can give good feedback. Also, if you see any missed opportunities, take note. Your coach will benefit from your observations.

Feedback for the Coach

Coach's name:

Situation:

What did the coach do particularly well?

How did the coach demonstrate powerful listening skills?

What were the most powerful questions used by the coach?

What was the impact on the coachee?

How could the coach have been even more effective?

Coaching Practice Self-Evaluation Form

What did you do well in your coaching practice? (What parts felt good to you?)

What would you do differently if you could do it over again?

What goal can you set for yourself as a coach?

Coaching for Excellence: Day 2

Objectives

In today's program you will...

- Review pitfalls in goal setting and how to avoid them.
- Practice formulating cascading goals that are appropriate for a business unit, department and YOU.
- Learn and practice the SMART goal format.
- Apply your coaching skills to a *Goal Setting* conversation
- Learn a model of performance management that will inform your coaching
- Review common “motivators” and consider how these might play a role in your coachee’s performance
- Practice following up after goal setting with a 1-minute check-in
- Review the City’s new *Quarterly Coaching* forms.

Re-Teach: Key Concept Review

You and your team have been assigned a concept that we covered in the last class. Prepare a quick “Re-Teach” of that concept.

Setting Goals and Achieving Results: What Helps and What Hinders?

Think about a time when you were able to achieve something difficult. What helped you get there? What hinders our ability to achieve our goals?

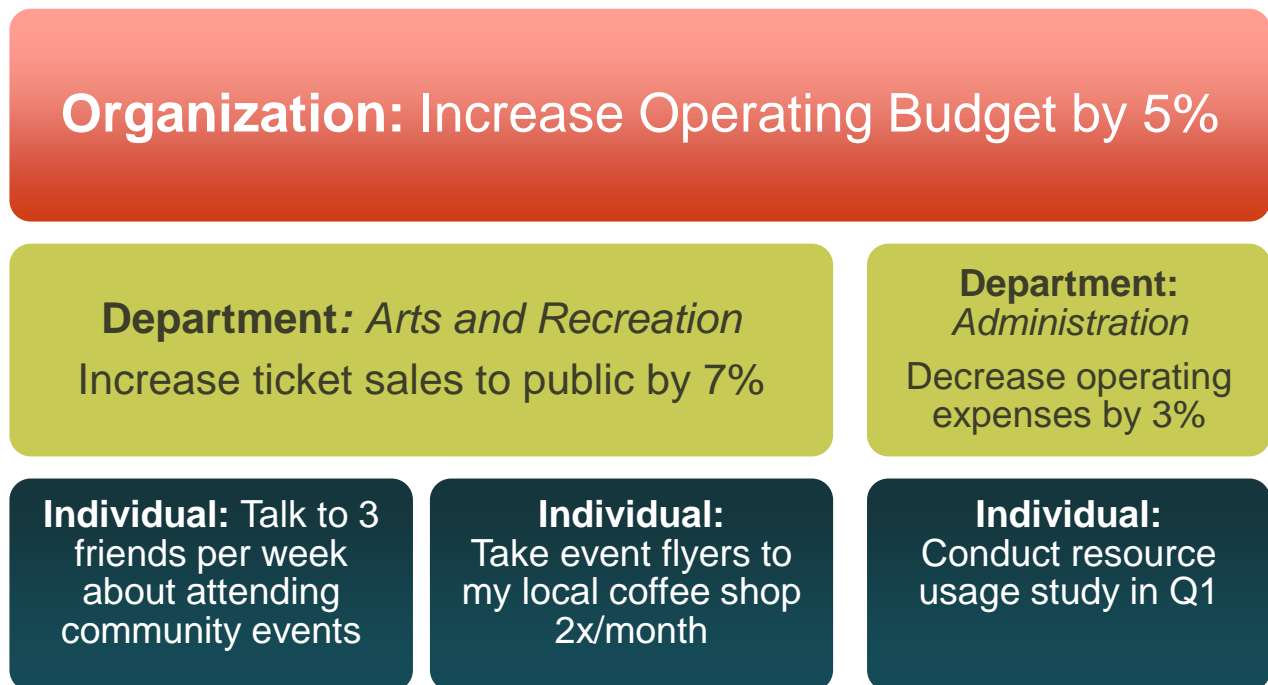
Write about your goal in the space below...

Helps...	Hinders...

Pitfalls of Goal Setting

Pitfall	Which step in GROW can help?
Lack of clarity about the outcome.	
Not enough time or resources dedicated to achieve the goal.	
Lack of accountability and follow-up	
Lack of desire. (It's not a goal we really want.)	
Goal is unrealistic.	
Not allowing for failure.	
Other?	

Cascading Goals



Your Organization's Goals

Goals are often set to help organizations save money or time, or to reduce waste or inefficiencies. Goals may also be set to help improve common metrics such as customer service or community engagement or employee satisfaction scores.

How clear are your organization's (or department's) goals? *What are they?*

Use the space below to brainstorm cascading goals for your department and yourself:

Make the link to coaching... if your team members are having a hard time with goal setting, it may be that you need to create more clarity about departmental or organizational level goals. How will setting clearer goals help your department.

Develop SMART Goals for Your Department

Part of the planning process requires clearly defined, measurable goals that can be measured, monitored and celebrated. SMART goals are:

Specific (results-oriented)

- Yes: To touch each piece of mail that comes across my desk only once.
- No: To work more efficiently

Measurable (cost, quantity, and/or quality)

- Yes: To return 90% of all e-mail inquiries in less than 48 hours.
- No: To get back to customers faster.

Attainable (reachable results)

- Yes: By December 12
- No: Always and forever

Relevant (supports achievement of group or organizational goals)

Timely (due date or frequency)

EXAMPLES:

- To disperse minutes for each team meeting to all members within 48 hours without compromising the quality of the document.
- To achieve a 95% customer satisfaction rate each quarter as measured by YELP reviews.
- To conduct performance coaching sessions to measure progress on individual goals for every employee quarterly.

TIPS:

- Start each goal with an action verb (increase, complete, attain, etc.).
- Define quantity, cost, time frames and/or quality.
- Avoid “all or nothing” objectives.
- Make sure the goal is observable.
- Make sure it’s within the person’s influence.
- Limit number of goals to 1-3 for each major output.
- Ask the person: Does this objective benefit you, our work group, and the organization?
- Stretch a bit: Higher goals generate greater effort than lower ones.
- **Make sure goals are not only SMART, but wise.**

SMART Goal Tip Sheet

Action Verb	Measureable Result	Time Frame
Start with an action verb, i.e.: <ul style="list-style-type: none"> • Increase • Complete • Conduct • Achieve • Maintain 	Include a measurement, i.e.: <ul style="list-style-type: none"> • How much • How many • How much better • How much faster • Costing how much less 	Include a time frame, i.e.: <ul style="list-style-type: none"> • Daily • Weekly • By end of third quarter • As scheduled • By January 20, 2014

E Exercise: SMART or Not?

Review and rewrite if not.

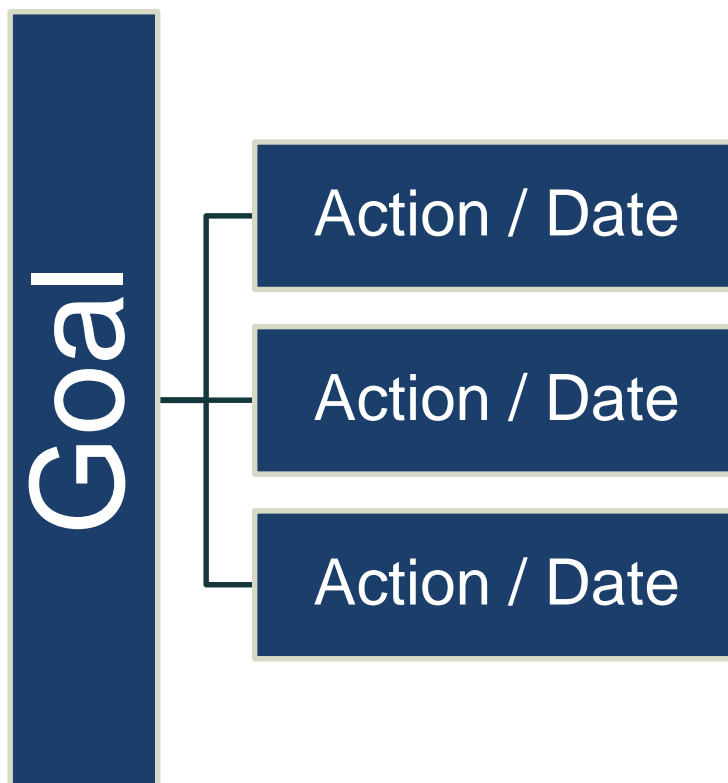
Original Goal	Revised
Monitor customer satisfaction often to make sure customer's expectations are met or exceeded.	
Always maintain accurate, up-to-date information in the database.	
Watch ticket sales figures closely and reduce over-spending.	

Practice

Use the space below to practice writing out some of your goals.
Make sure they are SMART!

Goals and Tasks

What do you need to DO in order to move your goals forward?



Use the space below to plan action steps for one of your goals.

Coach for Goal Setting: Practice Prep

Helping Your Coachee Reach a Goal

- Who will you coach?
 - What outcomes are you seeking?
-

Goal

- What questions will you ask to establish the goal?

- Is there anything that you need to tell?

Reality

- What questions will you ask to find out more about the current reality?

- Is there anything that you need to tell?

Options

- How will you probe about the options that your coachee feels are viable?

- Is there anything that you need to tell?

What's Next?

- What questions will you ask to spark discussion about plans, accountability or measures?

- Is there anything that you need to tell?

GROW Practice

Role Play Preparation

To gain practice, you will take turns as a *coach*, *coachee* (*the one being coached*), and an *observer* of a coaching delegation conversation. Put each group member's name in the grid below to guide you through each round.

	Round 1	Round 2	Round 3
Name: _____	Coach	Coachee	Observer
Name: _____	Observer	Coach	Coachee
Name: _____	Coachee	Observer	Coach

Tips for Giving Feedback

When you are the observer, watch carefully for things that the coach does particularly WELL. Be specific so that you can give good feedback. Also, if you see any missed opportunities, take note. Your coach will benefit from your observations.

Feedback for the Coach

Coach's name:

Situation:

What did the coach do particularly well?

How did the coach demonstrate powerful listening skills?

What were the most powerful questions used by the coach?

What was the impact on the coachee?

How could the coach have been even more effective?

Coaching Practice Self-Evaluation Form

What did you do well in your coaching practice? (What parts felt good to you?)

What would you do differently if you could do it over again?

What goal can you set for yourself as a coach?

For Your Reference: *DRIVE*

The Surprising Truth About What Motivates Us

Daniel Pink supports the notion that the three key motivators in the workplace are Autonomy, Mastery and Purpose. Use the space provided to consider how you might nurture each quality to increase motivation in your work force.

***Autonomy* is the state of having independence, freedom and self-governance.**

Q: How can you get out of your employees' way?

***Mastery* is letting people do what they love and find opportunities to learn and excel.**

Q: How can you encourage what people do best?

Q: How can you stimulate learning and growth for your team members?

***Purpose* is the bigger reason for doing what we do. It's "what gets you up in the morning."**

Q: How can you tie work goals to a greater purpose?

Q: How can you help people establish *meaningful* goals?

Questions to Assess Motivation

To learn more about their intrinsic motivation, ask your coachee...

- Tell me about a time when you were most fulfilled and satisfied at work. What was the situation? What made it particularly fulfilling or satisfying?
- If you retired tomorrow, what contribution would you like to be remembered for?
- If you could give up one task, what would it be?
- What is least satisfying about your work?
- What are some of your most compelling outside interests?
- If you could snap your fingers and be an expert at something, what would it be and why?
- Imagine that in 3 years you are living the life you always wanted. What does that look like? How can you get there?

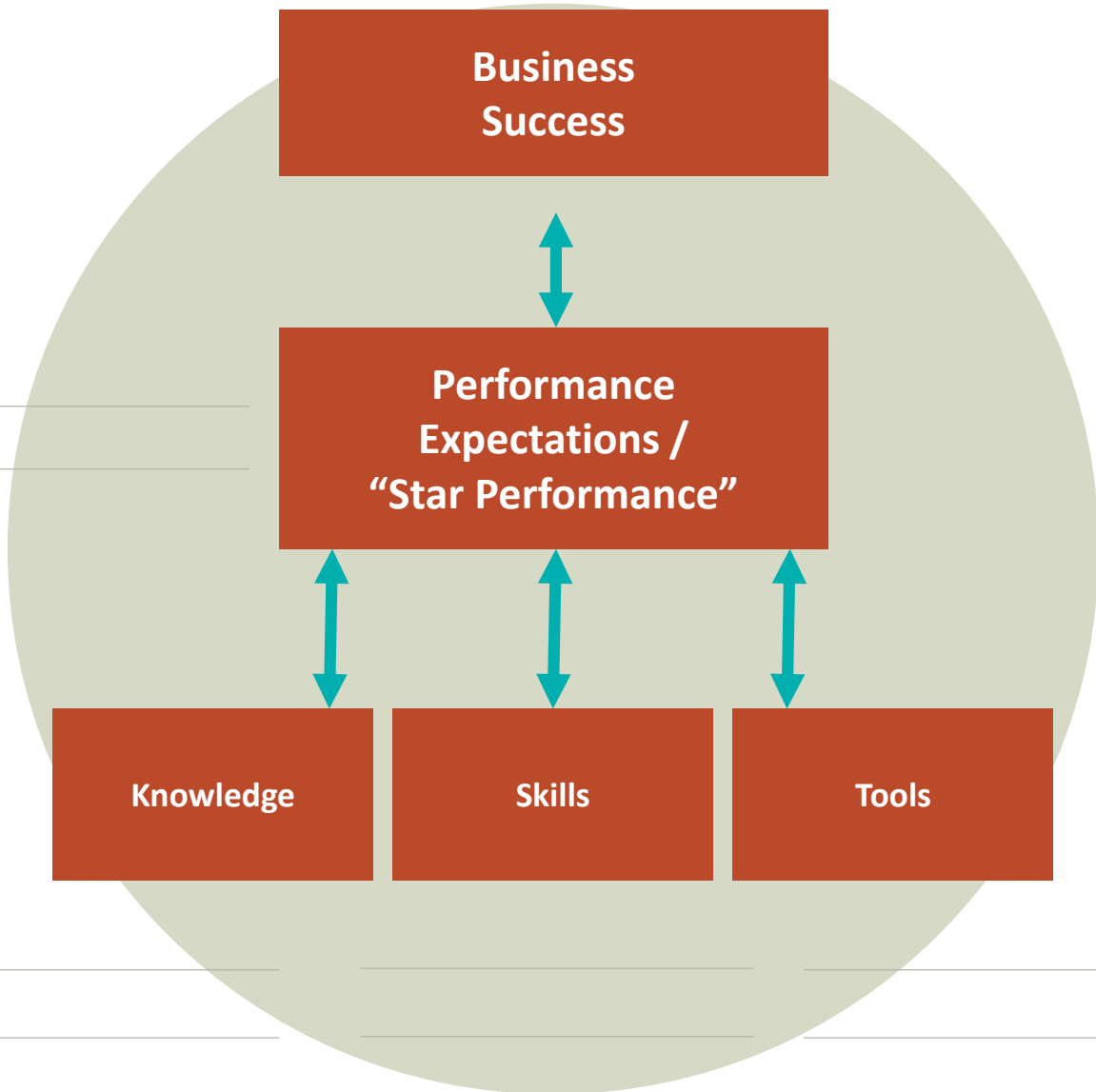
To learn more about job related motivation, ask your coachee...

- What is most exciting to you about our organizational or departmental goals?
- What part do you see yourself playing as we move toward our departmental goals?
- What contribution would you like to make toward achieving our departmental goals?
- How can I make your job easier?
- How can I make your job more satisfying?
- Are there any areas of your job that you feel that I am too involved in?
- Are there any areas of your job where you need more of my support?
- What do you want to get better at?
- What is your improvement plan?
- How can I support you as you learn something new?

To learn more about the factors that influence engagement, ask your coachee...

- How satisfied do you feel with your work and work/life balance?
- How are you doing with prioritization and time management? Can I provide clarity so that it is easier to make choices about how you are spending your time?
- How do you feel about the relationships you have forged at work. Is there anything you need from me?

Factors That Influence Performance



Planning Paves the Path to Effective Performance

On average, 44% of an organization's workforce is doing only what is required and will not put forth any extra effort.

Commonly cited reasons:

- *Unclear goals*
- *Lack of communication*
- *Procrastination*

Specific and challenging goals and focus on building an engaged workforce yields increased accomplishment.

What RESULTS are you seeking?	What skills, tools, coaching will your team need to achieve the results?	What indicators will confirm you are successful
Example: Achieve 98% customer service satisfaction	Example: Skills: Handling conflict. Tools: Phone system. Coaching: How to prioritize your day.	Example: Reaching a 98% customer service rating. Increased comfort handling conflict, self-report

1-Minute Feedback

It's amazing what you can accomplish in 1-minute!

The *1-minute Praise* and *1-Minute Re-direct* below are tools from Blanchard and Johnson's, "The New One Minute Manager."

1-minute praise

When you find your employee performing a task or meeting a goal just as you had expected, pause and give them kudos.

Follow these steps:

1. Praise people as soon as possible
2. Let people know what they did right—be specific
3. Tell people how good you feel about what they did right and how it helps.
4. PAUSE
5. *Let the goodness soak in for a moment.*
6. Encourage them to do more of the same.
7. Make it clear that you have confidence in them and support their success.

1-minute redirect

When you find your employee NOT performing as you had agreed, pause and re-direct. It is not doing the employee any favors when you overlook an example of poor performance. If you say nothing, they may believe that everything is fine, and you lose the opportunity to help them feel successful.

Follow these steps:

1. Re-direct as soon as possible
2. Confirm the facts first, and review the mistake together—be specific.
3. Express how you feel about the mistake and its impact on results.
4. PAUSE
5. *Be quiet for a moment to allow people to reflect on what they have done.*
6. Remind them that you think highly of them as a person.
7. Remind them that you have confidence in them and trust their abilities and that you support their success.
8. When the re-direct is over, it's OVER.

Help people reach their full potential. Catch them doing something right!
-Ken Blanchard

E

Exercise

Prepare 1-minute feedback for each of the following situations.

1. Twice now, an employee has come through in a pinch to deliver a report to the City Manager's Office on time.
 - Draft your 1-Minute Praise below...

2. An employee had set a goal of taking on a new project. In the past, she has always done her work but never stretched herself. After much discussion, she set a goal of getting involved in a significant way in a new project. She even seemed excited about it! Unfortunately, today you learned that she has missed the last 2 project meetings because "she didn't feel it was necessary for her to attend."
 - Draft your 1-Minute Re-Direct below...

Application

Use the space below to prepare 1-minute feedback for situations of your own.

1. Think about a situation in which someone deserves praise for following through, taking action, or exemplifying one of the City's values.
 - Draft your 1-Minute Praise below...

2. Think about a situation in which you need to help someone stay on track toward their goal.
 - Draft your 1-Minute Re-Direct below...

Use GROW to give Feedback

There will be many times when we don't want to have a full coaching session, but we want to give some quick feedback. GROW works well for that too!

Describe the GOAL

- Always start with the goal because it connects us to a larger purpose.
- This is a good time to assess a person's commitment to the goal by asking powerful questions.

"I just wanted to check in with you about the goal you set for yourself in our last conversation."

Describe REALITY

- Avoid defensiveness by talking about your observations in *neutral* and *descriptive* terms
- Talk about the Impact of the action you observed, or your interpretation of the action.

"How's it going? Are you encountering any barriers?"

Together, generate OPTIONS to solve the problem

- Remember that knowledge, skills, tools, confidence and motivation are all at stake.

"How do you think you might resolve the barriers that you have described?"

Talk about the WAY FORWARD

- Once you have established and agreed upon a specific course of action, talk about the positive consequences that will result from taking that action.

"I'm excited to see the progress you will make when you put these solutions to work. When will you take action?"

Coaching Action Plan

In order to strengthen your abilities as a coach, we ask that you try to conduct at least 4 coaching conversations before we meet again.



Who will you coach? (work, home, friends?)

When will you coach?

Who will you turn to as an accountability buddy?

Enhancing your Coaching Skills

- Practice! In conversations with friends and family, make a concerted effort to ask open ended questions and stay curious. Doing this in “low pressure” situations will enhance your ability to do it when the heat is on!
- Prepare yourself for your formal coaching discussions. Being centered and calm will help to ensure that you achieve positive outcomes.
- When you coach, think about *motivating*, not “fixing.” Remember that your coachee is creative, resourceful and complete!
- The coaching interaction can build trust or diminish trust, and it can leave your employee feeling empowered or discouraged. Take it seriously and know that you are making a difference!
- Remember that effective coaching is an essential part of building a positive workplace. Asking good questions helps you understand the situation and person more thoroughly and therefore brings out the best in you as a supervisor.

Coaching Follow-up and Self-Evaluation

We know about the importance of following up to ensure success. Please use this page to track what you are learning about yourself as a coach. Be prepared to share your insights with your peers in our next class.

Who did you coach and when?

Name	Date

Who will you provide support to as an accountability buddy?

What are *your strengths* as a coach?

What are some of your *limitations* as a coach?

Where will you put your emphasis in terms of building and enhancing your coaching skills?

Coaching for Excellence: Day 3

Objectives

In today's program you will...

- Warm-up by "coaching the coach"
- Learn about common barriers to performance and review a skill building model.
- Practice *Priming* and *Getting Ready to Coach*.
- Practice coaching in some unique and challenging situations.
- Integrate your learning as a coach and set goals for yourself.

Lock In Your Learning

At your tables, leverage the experiences of your peers and discuss your coaching experience thus far.

- Were you able to meet your goal for coaching others? (Why or why not?)
- What has been your experience with coaching others? (Difficult? Easy? Rewarding? Stressful?)
- What are *your strengths* as a coach?
- What are *your limitations*?
- What questions or challenges came up for you?

Coach the Coach

TIPS:

- Be present.
- Reflect back facts and feelings.
- “Tell me more.”
- Look for moments of insight.
- Use your intuition.
- Seek clarity.

GOAL

- What was your goal?
- Were you able to meet your goal for coaching others? (Why or why not?)
- *Was your goal realistic? Was it ambitious enough?*

REALITY

- What was your experience with coaching others? (Difficult? Easy? Rewarding? Stressful?)
- What are your *strengths* as a coach?
- What are your *limitations* as a coach?

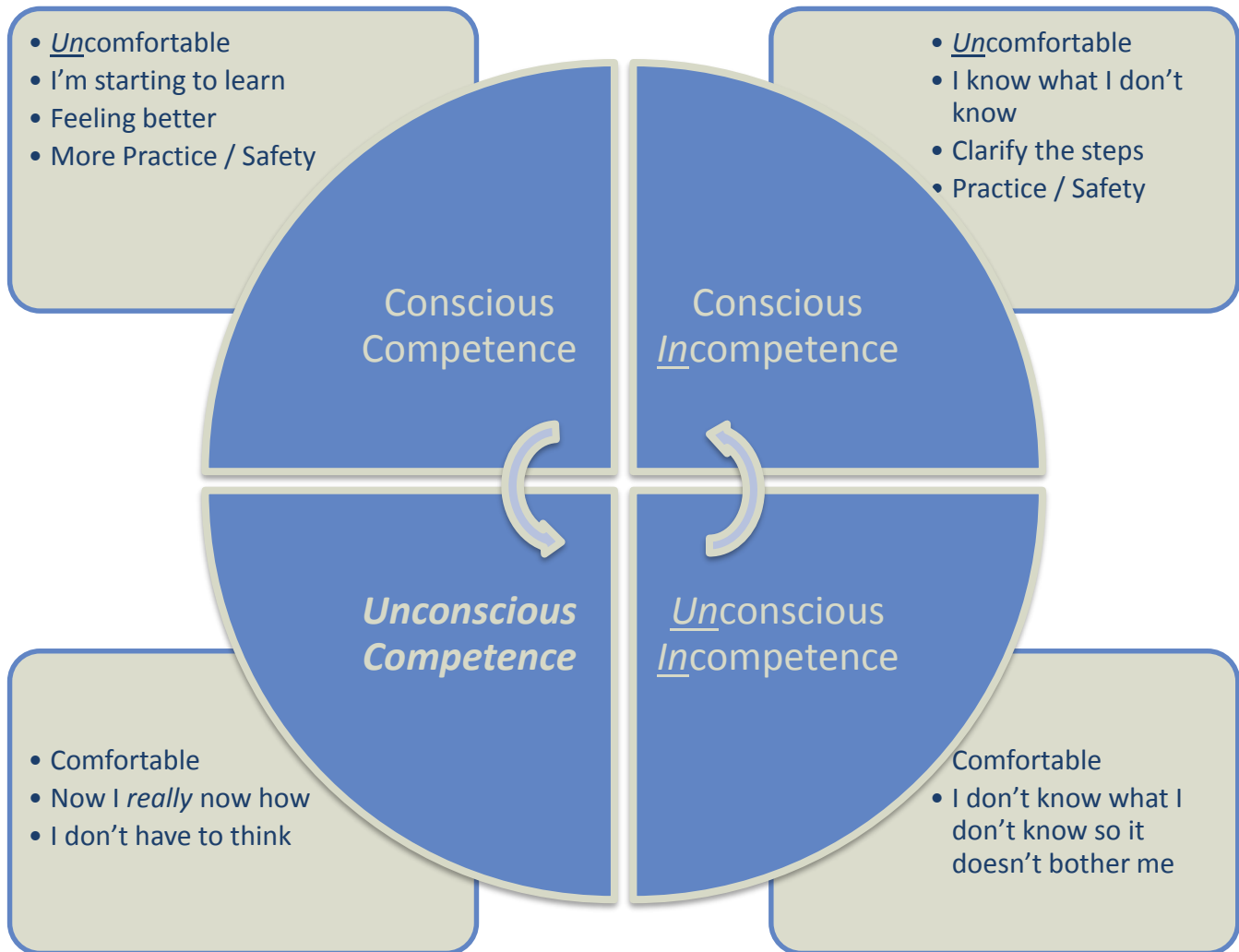
OPTIONS

- How might you leverage your strengths and overcome your limitations?
- What can you do next to continue your success as a coach?

WHAT'S NEXT?

- What is your *next* coaching goal?
- Who will support you in achieving your goal?
- How will you measure your success?

Skill Building Model



Questions to Assess Skill

First ask yourself...

- Are the departmental goals clear?
- Do I have any preferences about goals that my coachee sets?

Then ask your coachee...

- What is your goal?
- Tell me what you understand our departmental goals to be.
- How do you see yourself contributing to our departmental goals?
- What do you need to know in order to make this task easier for you?
- How comfortable do you feel doing XYZ?
- Tell me about a time when you (did something similar to XYZ)...
- When you have done XYZ in the past, what helped you succeed?
- What helps you learn?
- What comes up for you when you are learning a new skill?
- When can you practice?
- With whom will you practice?
- Do you want to practice with me now?
- How will you know if you are getting better at this skill?
- How can you measure your success?
- When you are really good at this, what benefit will you experience?
- What is the cost of NOT learning this skill?
- What is the benefit of learning this skill?
- In what other situations will this skill be useful?
- Who else might need to learn this skill? (Can you teach this skill to someone else?)
- If you were to teach me how to do this, what would you say or do?
- What tools or supports might help you remember the steps?
- What tools or supports might help you get better at this skill?

Getting Ready to Coach: Priming

Before: Practice priming for just 2- 3 minutes just prior to your coaching interaction.

“Priming” is a neuro-linguistic programming term that means “getting ready.” Author and speaker, Tony Robbins, teaches that priming is essential to success because it helps us focus our energy and get “into the right state of mind” prior to an event or interaction. Think of priming as being *proactive* about creating a positive state of mind. **It takes only 2-3 minutes to feel a positive difference and to influence your hormones and stress levels.**



Smile! Facial expression impacts your mood. Put on a smile, and your brain will respond.



Just as you tend to hunch over and make your body smaller when you are under stress, opening your posture will create a relaxing and uplifting sensation.



What we tell ourselves about the future can have a profound impact on our attitude and sense of personal power. Tell yourself a good story!

Use this space to make yourself some notes about how to “prime” before a coaching session.

Before, During and After

Before: Prepare

Think about the session.

- What do you really want to accomplish? (Prioritize!)
- What goals do YOU have for the session?
- What has your coachee been doing very well?
- Is there anything that needs correction? Think about how to describe the behavior. What questions will you ask about it?

During: Stay grounded and curious

Remember how critical it is to remain curious during your session. How can YOU remind yourself to stay curious?



Keep your feet on the ground



Ask a question
“Tell me more.”

Before, During and After

During

Use these strategies to keep the session on track...

1. Create a FRAME and Declare your intent

- As your coaching session gets started, create a very specific FRAME for the conversation.
 - *What are you hoping to discuss?*
 - *What outcome are you seeking?*
- Create trust by declaring your positive intent for the interaction.

2. Ask for permission

- Sometimes things feel like they are getting personal during a coaching session. If you feel that your coachee might be feeling vulnerable, ask permission to continue.
 - *“I’d like to talk more about what came up in the meeting. Would you be willing to share your feelings about it with me?”*

3. Keep it simple- don’t get bogged down in details- maintain control of the conversation

- *“I know you have a lot of detail, but just give me the highlights right now. What is the most important issue that you are facing?”*

4. Use time markers

- *“I’m glad you stopped by! I have 5 minutes before my next meeting. What can I do for you?”*

Before, During and After

After: Review your session and notes

- What went well?
- Did you accomplish what you hoped to accomplish?
- How did your coaching feel to you?
- What changes might you make next time?

After: Note taking

Review your notes. Remember that your notes are a legal document. How clear are they? How descriptive? Make every effort to separate observable facts from inferences.

Inference	Emphasis on observable behavior
“She was uncomfortable when I asked the question”	“She looked down at her paper when I asked the question and I thought she may be uncomfortable.”
“He was in a hurry to leave.”	“He stated that he only had a couple of minutes for our coaching session.”
Example of your own:	
Example of your own:	

Help Your Team Member GROW

Select a situation from the list below and determine how you would coach this team member and motivate him or her to action.

Situation A:

Your team member has worked at The City for many years and has seen a lot of change. He likes things the way they are and doesn't think that changing the Performance Appraisal system over to Quarterly Coaching is worth the time, money or effort. He is resistant to have a coaching conversation at all.

Situation B:

An employee in a leadership position has a hard time messaging decisions that come from the management team. She often will roll her eyes when conveying information, or prefaces her message with something like, "now they are making us do this too..."

Situation C:

Your team member has traditionally had a challenge with project management. He attended a robust training class about the topic 2 weeks ago, and returned to work eager to apply his new skills. Now that he's back on the job, he's quickly slipping back into old habits and you see no evidence that he is using any new tools.

Situation D:

One of your team members comes to work with a poor attitude. Others have approached you and complained about said team member, remarking that it is tough to deal with her. She is having a very negative impact on the group and it's time that you address it.

Situation E:

One of your team members does the minimum possible amount of work. He has the attitude that he will be paid the same no matter how much he does, so why bother to do more. In fact, he often says that others are doing less, so he certainly doesn't want to take on their work load.

Help Your Team Member GROW (cont'd)

Here are more scenarios to choose from.

Situation F:

Your team member appears very distracted and emotional. She arrives to work with swollen eyes and appears to have been crying. When a co-worker tried to talk with her about it, she said that she just has allergies, but you suspect something else is going on. You decide to approach the employee with the hope of lending support.

Situation G:

You have a very competent employee who is good at applying the policies and procedures of your department *to the letter*. Unfortunately, situations often call for front line employees to be creative problem solvers and to go beyond the letter of the policy manual. Recently, he denied access to the Rec Center to a regular customer (whom he recognized) because the customer left his ID card at home. As the manager, you then had to calm the angry customer. You need to coach the employee.

Situation H:

Your staff needs to routinely collaborate with staff from another department. Unfortunately, there is a history between the departments of conflict and blame. As the manager, you get called in to help resolve the conflict. Now you've decided to coach your employees on how to handle it themselves.

Situation I:

You manage a diverse staff that includes millennial, baby boomers and everyone in between. Unfortunately, there is more judgment and conflict among staff than is healthy. A conflict flares up between two employees, and you decide it is time to coach.

Situation J:

One of your staff has been with you a long time and is a great team member. However, when a promotional opportunity comes up, another, more qualified applicant gets the job. You know that the selection process was fair and equitable, and you personally believe that the right choice has been made, but there are bad feelings among some staff (and the rejected candidate in particular) and you know you need to do some coaching.

Coaching Challenge Prep

Use the space below to plan how you will address a challenging situation.

- What situation did you choose?
- Is your coachee *willing*? Is she or he *able*? (What evidence supports your claim?)
- What outcome do you really want?
- What potential barriers might you face and how will you handle them?
- What might “trigger” you and how will you stay centered?
- How will you open and frame the conversation? How will you close the conversation?

Coach with a Challenge: Coach's Worksheet

When in the role of the COACH:

Before the Role Play:

- **Prepare the coachee** to play the role of the direct report who's receiving coaching. Tell them "who to be." For example, will they play the role of someone who is willing to receive coaching? Will they be able to take on something new? What barriers might they face or express to you? Tell them, so they can be in character for the role play.
- **Sketch out some of your favorite G. R. O. W. questions** in the space below to use in the role play.

During the Role Play:

- **Balance seeking and telling.** Don't aim for perfection. Try different questions and go with the flow of the conversation. *Your goal is to coach fluidly.*

Goal

Reality

Option

What's Next?

Coach with a Challenge: Coachee Worksheet

When in the role of the **COACHEE**:

Before the Role Play:

- Using the prep guide below, **have a brief conversation** with the person playing the role of the coach. Ask them about the specifics of their coaching scenario. Since you are acting the part of the one being coached, you will likely want background on the following: What is the situation? Is the person you are role-playing willing? Able? What barriers are anticipated? Be ready to “play your part.”

During the Role Play:

- **Stay in character**, and don't be overly difficult.

Role play prep: To get a better idea of the role you'll play, ask the coach these questions before the practice session starts.

1. *What specifics do I need to know about the situation?*
2. *Am I willing to be coached?*
3. *Am I able to take on new goals?*
4. *What barriers have come up, or do you anticipate?*
5. *What is my working relationship with you like?*

Coach with a Challenge: Observer Worksheet

When in the role of the *OBSERVER*:

Before the Role Play:

- **Listen** to the coach’s scenario and how they prepare their coachee.
- **Assist** the coach with G.R.O.W. preparation, if needed.

During the Role Play:

- **Pay close attention to the coach.** For each GROW component, rate the effectiveness of the COACH on a scale of 1-5 (1-low, 5-high). Note specific observations and impacts in the spaces provided.

After the Role Play:

- **Give the coach feedback.** Discuss what went well, which questions had the biggest impact, and review any missed opportunities.

Name of Coach: _____			
Components	Rating (1 – 5)	Observation	Perceived Impact
Goal: Did the coach make the desired outcome clear?			
Reality: How thoroughly was the current state explored?			
Options: Was the coachee encouraged to come up with options?			
What’s Next?: Were next steps confirmed?			

Coaching Action Plan

In order to strengthen your abilities as a coach, put your skills into action immediately and work to form a coaching habit.



When this happens (write out the moment, the person and perhaps the feelings that are your trigger)...

Instead of (write out your habitual behavior)...

I will (describe your new habit)...

How will you continue to grow your coaching skills over the next several weeks and months?

When will you check in with your accountability buddy? (Create a specific plan and a trigger for your new action.)

Build a Positive Workplace: Recognition Tips!

Recognizing others does not have to take a huge investment of time or money. In fact, the most meaningful recognition is to create an environment of support and celebration. Review the tips below. Which are easy for you? Which can you do more often?

- Notice each individual.
- Say Thank-you. Even a smile can make a big difference.
- Make the staff feel respected and valued through your use of clear communication.
- Share your experience and knowledge.
- Show confidence in others' abilities.
- Be honest and trustworthy.
- Don't take credit for their successes.
- Create a blame-free culture.
- Set achievable developmental goals.
- Know that people most often quit managers, not companies.
- Be aware: As a supervisor you are on stage each day. People notice what you do and don't do.
- Link rewards and performance in areas such as praise, recognition, and choice assignments.
- Take actions that encourage teamwork and make jobs more meaningful and relevant.
- Focus on enhancing strengths instead of fixing faults.
- Encourage upward feedback.
- Convey a positive attitude:
 - **S** – Smile
 - **O** – Open Posture
 - **F** – Forward Lean
 - **T** – Touch (appropriately, as when handing items or shaking hands)
 - **E** – Eye Contact
 - **N** – Nod
- Make work fun!

“Champions know that success is inevitable; that there is no such thing as failure, only feedback. They know that the best way to forecast the future is to create it.”

—Michael J. Gelb

Coach for Excellence Evaluation

Today's Date:

Course Title:

Facilitator(s):

Instructions: For each of the statements listed below, please circle the number that best describes your response. On this scale, 1 is strongly DISAGREE, and 5 is strongly AGREE.

	Strongly DISAGREE				Strongly AGREE
The program met the objectives.	1	2	3	4	5
The facilitator was knowledgeable.	1	2	3	4	5
The facilitator was responsive to the participants.	1	2	3	4	5
This topic was important for my job success.	1	2	3	4	5
This topic was important to my organization's success.	1	2	3	4	5
I intend to use what I learned in this workshop.	1	2	3	4	5
I would recommend this program to others.	1	2	3	4	5

Comments about this program:

1. Other, related topics I'd like some training on include...
2. In a sentence or two, how would you describe your experience in this course to a friend or colleague?

May we quote you on that? Yes No

Signed _____ Date _____

Welcome!

Welcome!

The City of Walnut Creek welcomes you to the *Being Your Best at Work* program! The purpose of this program is to prepare you to thrive in a coaching-oriented workplace. Our hope is that your manager or supervisor will conduct coaching sessions with each staff member at least 4 times per year. This is designed to increase clarity within our workplace and to enhance communication and connection.

Objectives

In this hands-on training you will...

- Discuss and understand the expectations for effective coaching at the City of Walnut Creek.
- Understand the critical role *you* play in the coaching relationship, and how to leverage the coaching conversation for your own growth and development.
- Enhance your listening skills, and reduce your own defensive reactions by using L.A.S.T.
- Articulate some personal goals and some cascading goals.
- Experience peer coaching using the GROW format.
- Prepare for a “Goal Setting” conversation with your manager



Table Talk: Benefits of continuous feedback!

Imagine an organization in which people speak freely to one another, giving and receiving feedback without hesitation. Have you ever been in an organization (or in a friendship) like that? What qualities within the people in the relationship made it possible to give and receive that kind of feedback? What was the impact of that kind of honesty and communication?

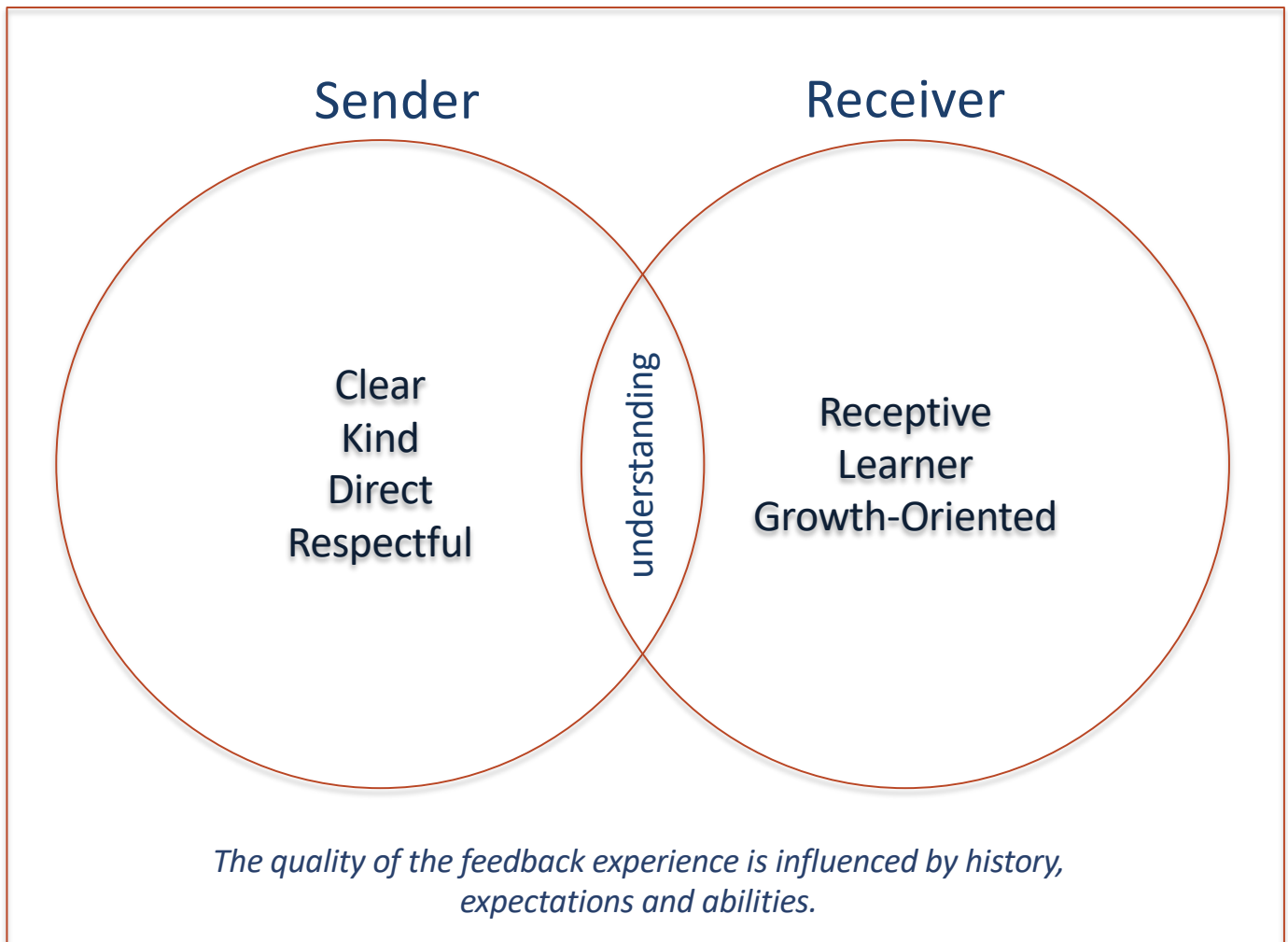
Qualities of the people...

Impact of the honesty and communication...

Myth or Fact?

Statement	Myth	Fact	Notes
People generally receive regular, useful feedback about their work.			
Publicly delivered developmental feedback usually increases the recipient's anxiety.			
It's best if people get feedback only from their leader.			
Seeking feedback is a sign of low ability.			
Prior success in a task can reduce the tendency to seek feedback.			
A person who reacts defensively when hearing developmental feedback is typically not a strong performer.			
Exceptional organizations have higher levels of feedback and debate than mediocre organizations.			
People prefer giving feedback for development more than they prefer giving complimentary feedback.			
High performers don't need feedback about what they are doing well; they already know.			
The most pervasive barrier to listening is the compulsion to prepare a response to what the other person is saying.			
The best way to ensure that you accurately understand a discussion's purpose, is to remain silent, make eye contact, and listen to learn.			

The Continuous Feedback Model



TRY THIS!

As counter-intuitive as it seems, asking for feedback is a powerful practice for truly learning and growing. But instead of just saying, “would you like to give me some feedback on how I’m doing?” We suggest a softer approach. “*What’s one thing I could do to make your job easier?*” is a much better way to get the conversation started.

BONUS: The After-Action Review

Get More “Bang for Your Buck” when it comes to feedback!

Bring your team together for an **After-Action Review**

When your team completes a project or achieves a milestone, come together and discuss:

- What did we INTEND to accomplish?
- What DID we accomplish?
- What did we do really well?
- What can we improve next time?
- How can we BE better together?
- How can we make the process better?
- How can we communicate better?
- How can we have more fun?

Benefits of consistent quality feedback

How will the organization benefit?

How will *you personally* benefit?

Benefits of ongoing, helpful coaching

How will the organization benefit?

How will *you personally* benefit?

Imagine yourself thriving at work.

- What does it look like?
- What does it feel like?
- What skills are you using?
- What impact are you having on others?
- Who is helping and how?

Listening with Presence

Listening is one of the most powerful, productive and under-utilized skills of a leader.

5 Fast Five



What did you notice about the quality of your thinking during the Fast Five exercise?

Listening Effectively for Clarity and Connection

Get Ready to Listen:	Create a “bubble of attention” around the speaker.
Know Your Goal:	Listen to understand, not necessarily to respond.
Encourage the Speaker:	Pay attention, check your non-verbal language and maintain eye contact. “You were saying... tell us more...” “Then what happened?”
Organize Information:	<ul style="list-style-type: none"> • Listen for key ideas • Make an outline in your head • Use mnemonics and enumerators • Visualize
Paraphrase:	<p>Restate your interpretation of the content or the feelings behind the content of the message. Don't assume!</p> <p>Speaker: First she just didn't pull her weight around the office. Now she's actually undermining other people's work.]</p> <p>Listener: “So you feel that things have been getting worse, is that right?”</p>
Reflect/ Mirror:	<p>Speaker: “I'm overwhelmed by all the calls that have been coming in.”</p> <p>“I hear that you are at your limit.”</p>
Check Perceptions:	“Your tone sounds angry. Am I interpreting that correctly?”
Validate:	“I can hear that you are very upset by this, and I can see why you would be.
Check/Summarize:	“Let me know if I've got this right. You said that you are concerned about three things...”
Avoid Spot-light Speaking	<p>A: “I am so tired.”</p> <p>B: “Me too! I didn't get any sleep last night because...”</p>

Barriers to Effective Listening

- Getting defensive!
- Calling the subject uninteresting before hearing what it is about.
- Formulating counter-arguments while the speaker is talking.
- Listening so closely to the details that you miss the big picture.
- Listening so closely to the details that you miss the *feelings* behind the message.
- Faking attention to the speaker.
- Allowing your emotions to stand in the way of understanding the true message.
- Distorting the message with your own interpretations.
- Allowing your past experiences with a person to dictate your present feelings.
- Being inaccessible.
- Being buried in work.
- Always in a hurry.
- Never checking in (creating opportunities to listen).
- Lack of trust.



Which barriers are strongest for you?
How can you overcome these barriers?

Major Barrier to Feedback: Defensiveness

What kinds of things might I receive feedback about?

Things that can trigger a defensive reaction in me:

(Start with the things you are proud of or attached to.)

Ways I tend to defend (check all that apply)

- Checking out (“whatever!”)
- Getting angry
- Counter-attack
- Negating the feedback (you don’t really know)
- Deflection / Blame (I wouldn’t have done that if it wasn’t for...name object of blame)

Ways I can transform my defensiveness...

Transform your thinking
Listen to learn
Seek details
Admit mistakes

Receptivity Practice

Read each situation below. Help the employee be more receptive by recommending a receptivity strategy and Giving some advice. What should the employee say or do in the situation to demonstrate more receptivity?

1. George interacts with citizens on a regular basis, and he does pretty well. Admittedly, he loses his temper on occasion, and in fact, it happened again just last week. George's boss comes to speak with him and he says, "Seriously, George! I got another complaint today! You've got to quit making people angry!" George can feel himself getting defensive. What should he do instead?

2. Silvia's boss approaches her and says she'd like to "have a talk" about Silvia's work performance. Silvia feels like she is doing a great job, so she immediately feels a little defensive. What should Silvia do instead?

3. Max is taking a new role on one of the team's he is on. He is now responsible for keeping the project management worksheet up to date on a weekly basis. He is great with computers, but doesn't really know this particular piece of software. On the second week, the project lead comes to talk to Max and says, "I noticed some discrepancies in the project sheet. Can we get together to review?" Max starts to feel defensive. What should he do instead?

4. Sydney is sick of her job. She is underutilized and bored. She knows it comes out in her attitude at work, but she also knows that she only has another 2 years until she retires. Every time her boss wants to have a coaching conversation, Sydney resists. What should she do instead?

Transform Your Defensiveness: L.A.S.T

Whenever you are receiving feedback, use L.A.S.T.

Listen

Use all of your best listening skills. Set your barriers aside.

Acknowledge or Apologize

Acknowledge what the other person is saying, and even how they feel. Acknowledge what happened, and what the other person is requesting. Apologize anytime it feels appropriate, but only if your apology is authentic.

Solve

Solve the problem together. Offer solutions and options. Decide on specific actions.

Thank

Thank the other person for bringing up their concerns. This creates psychological safety in the relationship.

L.A.S.T. Practice

Now take your scenario a little further. Show us how each “character” would use L.A.S.T. in the scenario provided.

1. George interacts with citizens on a regular basis, and he does pretty well. Admittedly, he loses his temper on occasion, and in fact, it happened again just last week. George’s boss comes to speak with him and he says, “Seriously, George! I got another complaint today! You’ve got to quit making people angry!”
 - Demonstrate George using L.A.S.T. with his boss. (HINT: Start with Acknowledge!)
2. In the meeting, Silvia’s boss talks to Silvia about how to improve her prioritization. She says that Silvia has been doing great work, but doesn’t seem to be able to finish her work on time (as evidenced by her overtime). The boss wants to help Silvia set priorities.
 - Demonstrate Silvia using L.A.S.T. (HINT: Focus on *Solving*)
3. Max is now responsible for keeping the project management worksheet up to date on a weekly basis, but he doesn’t really know the software. The project lead comes to talk to Max and says, “I noticed some discrepancies in the project sheet. Can we get together to review?” Max starts to feel defensive. What should he do instead?
 - Demonstrate Max using L.A.S.T. in his conversation with his lead. (HINT: Start at the beginning, and *focus on L and S*)
4. Sydney has transformed her thinking and has accepted a coaching conversation with her boss. Her boss tells her how much she values Sydney’s expertise and talks with her about a possible mentoring opportunity.
 - Demonstrate Sydney using L.A.S.T.

FYI: Requesting Actionable Feedback

“How am I doing?” won’t cut it! Follow these tips for seeking feedback that counts.

➔ **Enter with a fluid mindset, instead of a fixed mindset**

Remember that your skills and abilities are fluid and can be changed or even improved, as opposed to fixed and permanent.

➔ **Be curious, grateful, and open**

Before seeking feedback, commit to listening to learn. Acknowledge that your work isn’t perfect– nothing is! Remember that you don’t necessarily have to agree with what you hear. You’re simply gathering information. Let your feedback giver know that you appreciate what they say.

➔ **Breathe, and feel your feet on the floor**

It’s natural to get defensive when receiving feedback. Connecting with your physical body will help you stay in the moment and out of your head. Instead of letting your amygdala choose fight (verbal attacks to feedback), flight (walking away/quitting), or freeze (refusing to talk, crying), tune in and make a better choice.

➔ **Make it clear that you’re looking to improve and develop**

Let your manager know that honest feedback benefits you both. Feedback is a gift that helps us speak our truths. In working relationships, ongoing open feedback can distinguish connection from dysfunction.

➔ **Start with these two statements:**

- 1. Please tell me one thing you appreciate about the way I work*
- 2. Please tell me one thing that would make me even more effective on the job*

➔ **Follow up with any of these questions**

- 1. Can you give me an example of a time when I did _____ effectively, and an example of a time I could have done it better?*
- 2. I’m struggling with X... what ideas do you have for me?*
- 3. If you were me, what would you do to forward Driscoll’s mission?*
- 4. In your opinion, how am I seen around here?*
- 5. Who’s work would you like me to emulate?*
- 6. What three words best describe me at work?*

➔ **Write everything down**

This shows you take feedback seriously and it gives the speaker time to think . This gives you time to listen, reflect and make sure you heard it right.

Finding Your Passion: Partner Interview

1) Tell me about your best work experience ever – Think about a time in your life when you were most engaged at work, you gave extra effort without being asked, you believed your work really made a difference.

2) *Why* exactly was that your best work experience? What specific assignments did you have? How did your manager act toward you?

3) Boil it down: what's *really important* to you at work?

4) What “legacy” would you like to leave when you retire?

5) How could you sculpt your job to get a little bit more of what's important to you?

Is there something you'd like to do differently?

Is there a new skill you'd like to learn or practice, or a new responsibility you'd like to take on?

Is there a way that you can mentor or influence others?

Consider Other Goals...

It is easy to lose sight of the big picture when we are working hard day to day. But, it is important to remember that you are on a career pathway, and that how you spend your workdays “adds up” to a big part of life. Use the space below to brainstorm about goals you may have for yourself. The wheel below shows a number of areas in which goal setting is common.



5

Goal Setting: Helps and Hinders

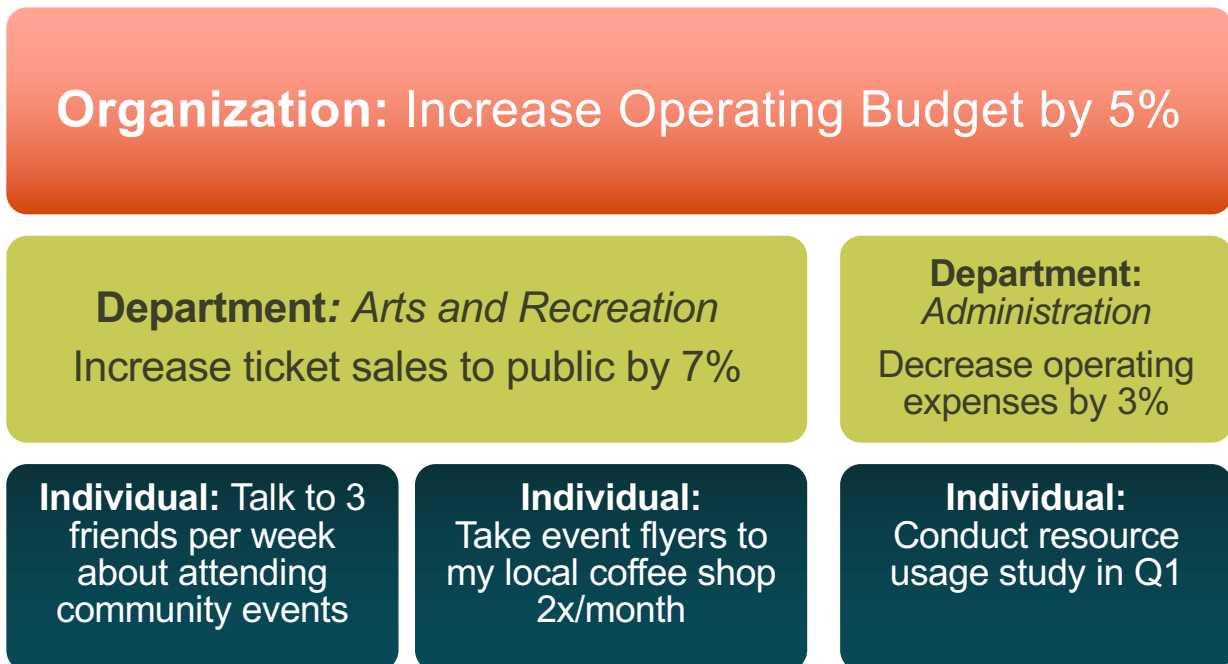
Think about a time that you reached a difficult goal. What helped you get there? Compare it to a time when you didn't reach your goal. What gets in the way of goal achievement? ...

Helps...	Hinders...

Typical Pitfalls of Goal Achievement

Pitfall	How to fix it...
Lack of clarity about the outcome.	
Not enough time or resources dedicated to achieve the goal.	
Lack of accountability and follow-up	
Lack of desire. (Not a goal we really want.)	
Goal is unrealistic.	
Not allowing for failure.	
Other?	

Cascading Goals



Your Organization's Goals

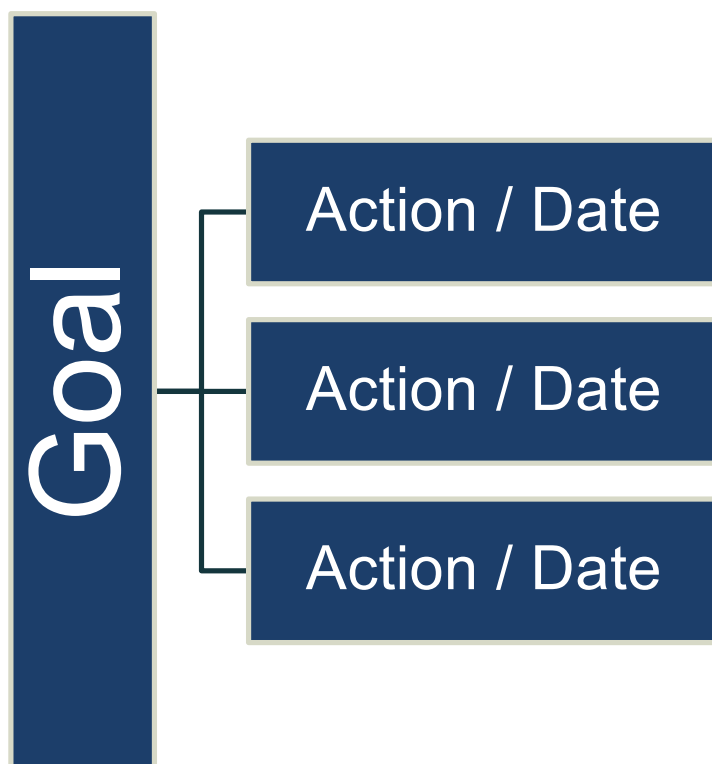
Goals are often set to help organizations save money or time, or to reduce waste or inefficiencies. Goals may also be set to help improve common metrics such as customer service or community engagement or employee satisfaction scores.

What are your department's goals? (If you don't know, you might be able to guess.)

Use the space below to brainstorm cascading goals for yourself:

Goals and Tasks

What do you need to DO in order to move your goals forward?



Use the space below to plan action steps for one of your goals.

** NOW: Transfer your action steps to your project plan, calendar or task list!*

Develop SMART Goals

Achieving goals is much easier when our goals are clearly defined, measurable, monitored and celebrated. SMART goals are:

Specific (results-oriented)

- Yes: To touch each piece of mail that comes across my desk only once.
- No: To work more efficiently

Measurable (cost, quantity, and/or quality)

- Yes: To return 90% of all e-mail inquiries in less than 48 hours.
- No: To get back to customers faster.

Attainable (reachable results)

- Yes: By December 12
- No: Always and forever

Relevant (supports achievement of group or organizational goals)

Timely (due date or frequency)

EXAMPLES:

- To disperse minutes for each team meeting to all members within 48 hours without compromising the quality of the document.
- To achieve a 95% customer satisfaction rate each quarter as measured by YELP reviews.
- To conduct performance coaching sessions to measure progress on individual goals for every employee quarterly.

TIPS:

- Start each goal with an action verb (increase, complete, attain, etc.).
- Define quantity, cost, time frames and/or quality.
- Avoid “all or nothing” objectives.
- Make sure the goal is observable.
- Make sure it’s within the person’s influence.
- Limit number of goals to 1-3 for each major output.
- Ask the person: Does this objective benefit you, our work group, and the organization?
- Stretch a bit: Higher goals generate greater effort than lower ones.
- **Make sure goals are not only SMART, but wise.**

SMART Goal Tip Sheet

Action Verb	Measureable Result	Time Frame
Start with an action verb, i.e.: <ul style="list-style-type: none"> • Increase • Complete • Conduct • Achieve • Maintain 	Include a measurement, i.e.: <ul style="list-style-type: none"> • How much • How many • How much better • How much faster • Costing how much less 	Include a time frame, i.e.: <ul style="list-style-type: none"> • Daily • Weekly • By end of third quarter • As scheduled • By January 20, 2017

E

Exercise: SMART or Not?

Review and rewrite if not.

Original Goal	Revised
Monitor customer satisfaction often to make sure customer's expectations are met or exceeded.	
Always maintain accurate, up-to-date information in the database.	
Watch ticket sales figures closely and reduce over-spending.	

Practice

Use the space below to practice writing out some of your goals.
Make sure they are SMART!

The GROW Model

G

GOAL

Step one is to talk about the Goal. You might talk about how you understand the goal of a particular assignment or project, or you might discuss *your* goal for the conversation.

R

REALITY

Next, talk about *what is happening now*. The REALITY. This step often starts with, “I noticed...” In this stage of the conversation you might also talk about barriers you are encountering, resources that you need, or about any competing or conflicting priorities that might get in the way of the goal.

O

OPTIONS

You might think you know exactly how to proceed, but use this time to brainstorm. Come up with several options. Be creative. Share your opinions and suggestions, and then ask your supervisor for his or hers. (But try to come to the meeting with at least a few good ideas.)

W

WHAT'S NEXT / WAY FORWARD

Seal the deal by determining next steps and making a plan to overcome barriers. Make a plan for measurement, follow-up and check-ins. Write it down on your coaching form.

Tips for the Coaching Conversation

- Think first
- Emphasize listening (No grandstanding!)
- Establish safety
- Ask permission to share
- Ask for what you want and need
- Don't judge
- Build trust
- Declare your intent

Powerful GROW Questions

Goal:

- What goal around (task) have you set for yourself?
- Why do you want to achieve this goal?
- What are the benefits to you and the organization?
- How will you know you're successful?
- How important is it for you to achieve this goal?
- What energizes you about this?
- What is the opportunity here?

Reality:

- Where are you now in relation to your goal?
- What barriers or obstacles have you faced, or do you anticipate?
- How does this situation affect you?
- What if we kept things the way they were?
- What are the advantages to changing?
- What would be the disadvantage of NOT moving forward with the goal?

Options:

- How can I help move you from where you're at to where you want to be?
- What's the best/worst thing about that option?
- If you didn't have any constraints (time, budget, etc.) what would you do?
- What other approaches might bring you success?
- What have you tried so far?
- Would you like my perspective?

What's Next / Way Forward:

- When will you start?
- Whose help do you need?
- How can you hold yourself accountable?
- How can I help hold you accountable?
- On a scale of 1-10, how motivated are you to achieve this?
- On a scale of 1-10, how confident are you of achieving this?
- What are the next steps?
- What are the chances of success?
- What challenges do you expect?
- What do you need to know?
- What skills do you need to have?
- What tools do you need?
- What angles haven't we considered?
- What will you do if you get stuck?

Coach Toward a Goal: Practice Prep

Helping Someone Reach a Goal

- Who will you coach?
-

Goal

- What questions will you ask to establish the goal?

Reality

- What questions will you ask to find out more about the current reality?

Options

- How will you probe about the options that your coachee feels are viable?

What's Next?

- What questions will you ask to spark discussion about plans, accountability or measures?

Putting it all Together: Coaching Session

Preparing for your initial coaching session

- Who will you ask for a coaching session?
- What do you want out of the session?
- Is there anything you'll ask for?

Use the space below to formulate your request:

Goal

- What is your goal for the session?

- What is the most important work goal that you'd like to set?

- Is there anything that you need to ask about organizational or departmental goals?

Reality

- What barriers are you currently facing?

- Is there anything that stands in your way?

- Is there anything you need to ask your manager about what's happening now?

Options

- What options will you suggest?

- How will you ask for additional options?

What's Next?

- What do you need to ask for when it comes to plans, accountability or measures?

Coaching Session Script

Request a Meeting

- Hello, NAME. I've been thinking about my goals for this coming year, and I'd like to set up a time to talk with you about them. Can we set aside 30 – 45 minutes for this first session?

Goal

- I realize you may have some goals in mind for me, but I've also been thinking a lot about my goals.
- May I talk about mine first? (OR: Would you like to talk about yours first?)
- (Provide context) Because I know that our departmental goal is THIS, I have set the following goal for myself: DISCUSS GOAL AND MEASURES OF SUCCESS.

Reality

- Some of the things that I think could derail my success are... EXPLAIN
- I'd really like your help with...DESCRIBE
- Is there anything else you'd like to tell me about what you see as potential barriers?

Options

- I have a few options (or ideas) to discuss about how I can reach my goal and overcome a barrier. They are...DESCRIBE
- What other options do you have in mind?
- What do you think about these options?
- Which seems most reasonable to you?

What's Next?

- So, I'm going to (ACTION PLAN). And you're going to (ACTION PLAN).
- Can we check in in a few months to review my progress?

Action Planner

Being Your Best at Work

What are you looking forward to putting into action?



What was the most important thing you learned about the topics we covered? (Listening non-defensively; receiving feedback; setting and achieving goals; participating in coaching)

What have you learned today about yourself?

Tips for Thriving in a Coaching Environment

- Remember that the quality of *every relationship* you have – at work and outside of work – is heavily determined by *what you bring* to that relationship. Being open, non-judgmental, a great listener and a problem solver will serve you well.
- Do all you can to reduce your own defensiveness. While becoming defensive is a natural self-protecting pattern, it gets in the way of our ability to learn and grow. Listen to learn, transform your thinking, seek details and apologize when needed.
- Speak up! Don't wait for someone to read your mind, and don't fall into the trap of being a victim. If you'd like something to change, ask for it.
- Remember that coaching is about being present with another person and helping that person achieve a goal. Whether you are the coach or the coachee, it can be a very positive experience.
- If you want to achieve things, set goals. It will help you get there faster. Only set goals for those things that are truly meaningful.
- Try your new skills at home and everywhere. Once these skills feel comfortable to you, you will really start to receive the benefit of stronger relationships.

Being Your Best Evaluation

Today's Date:

Facilitator(s):

Instructions: For each of the statements listed below, please circle the number that best describes your response. On this scale, 1 is strongly DISAGREE, and 5 is strongly AGREE.

	Strongly DISAGREE				Strongly AGREE
The program met the objectives.	1	2	3	4	5
The facilitator was knowledgeable.	1	2	3	4	5
The facilitator was responsive to the participants.	1	2	3	4	5
This topic was important for my job success.	1	2	3	4	5
This topic was important to my organization's success.	1	2	3	4	5
I intend to use what I learned in this workshop.	1	2	3	4	5
I would recommend this program to others.	1	2	3	4	5

Comments about this program:

1. Other, related topics I'd like some training on include...
2. In a sentence or two, how would you describe your experience in this course to a friend or colleague?

May we quote you on that? Yes No

Signed _____ Date _____

Career Conversations Guidelines

1. Employee should complete and/or update annually the “5 Questions” form and provide to supervisor prior to Coaching Session.
2. Supervisor of record should conduct the meeting with employee
3. Ideally, progress and check-in specific to the contents of the Career Conversations should occur at the quarterly coaching check-in meeting at a minimum
4. Actionable goals/objectives should be a result of these conversations and should be specific to career development and/or their engagement level in their current position and are reflected on the Quarterly Coaching Check-In form.

Examples for each category of Employee’s Desired Outcome:

I love what I’m doing! No changes desired this year

- Mentor a newer employee
- Develop or update standard operating procedures
- Lead a project in assigned area that employee has a natural strength in
- Lead an organizational transition (i.e. new technology)
- Develop training
- Participate in CARE activities (i.e. employee may want to focus on personal wellness)

I love what I’m doing and I am eager to learn/do something different/more

- Consider continuing education and utilizing the tuition reimbursement program
- Attend City sponsored training
- Explore attending a conference related to current job or area of interest
- Identify a project in another department, division, etc. within the City which you can participate or lead
- Participate in a CARE program activity development team

I am interested in working towards a promotion to a higher level position within my career path

- All of the above, plus:
- Discuss possibility of an acting assignment
- Consider leadership training (CCLA, LCC, Stanford/Berkeley Executive Program, specialized leadership training within field, front line supervisor training through NORCAL Consortium)
- Seek out a mentor within the agency or within your field
- Compete for open positions
- Seek out interviewing skills and resume development

I want to explore a different career path or need exposure to something new to fill a professional “gap” in order to meet my ultimate career objectives

- All of the above, plus:
- Explore a job swap with someone else in the agency to see if there is a “fit”

Employee Name: _____

Classification: _____

This form should be completed by the employee on an annual basis and provided to supervisor prior to Coaching Session – See Guidelines on reverse side of this form.

5 Questions to generate a meaningful “Career Conversation”

1. What do you enjoy most about your job/current assignment?
2. What do you like least about your job/current assignment?
3. What areas would you like to learn more about?
4. What are your professional/career goals for the next 3-5 years and what are your plans to achieve those goals?
5. What do you most hope I do to support you with your goals?

Outcomes desired for the next year (check all that apply):

- I love what I’m doing! No changes desired this year
- I love what I’m doing and I am eager to learn/do something different/more (i.e. project share)
- I am interested in working towards a promotion to a higher level position within my career path (i.e. acting assignment, leadership training, mentoring)
- I want to explore a different career path or need exposure to something new to fill a professional “gap” in order to meet my ultimate career objectives (i.e. job swap, acting assignment)
- Other

Employee Signature/Date: _____

Supervisor Signature/Date: _____



MEANINGFUL WORK

TOTALREWARDS

Q **Q1** **Q2** **Q3** **Q4** **P** **A**

 **QUARTERLY PERFORMANCE ALIGNMENT**

PROCESS GUIDE



September 2015



TABLE OF CONTENTS

OVERVIEW	2
QPA AND PREVIOUS PROCESSES	4
QPA & TOTAL REWARDS	5
MEANINGFUL WORK	6
QPA: 5-STEP PROCESS	7
SUPERVISOR ALIGNMENT	8
STEP 1: Goal Alignment	9
INDIVIDUAL GOALS & OBJECTIVES	10
INDIVIDUAL DEVELOPMENT PLAN (IDP)	11
STEP 2: Self-Assessment	13
STEP 3: Supervisor Assessment	15
STEP 4: Feedback Discussions	16
STEP 5: QPA Process Closed	17
PROVIDING UPWARD SUPERVISOR FEEDBACK (COMING Q3 2016)	23
ADDITIONAL RESOURCES	24
QPA TOOL A: CREATING GOALS	25
QPA TOOL B: Creating Individual Development Plans (IDPs)	27
QPA TOOL C: Employees - Feedback Discussion Preparation	29
QPA TOOL D: Supervisors - Giving Feedback	30
QPA TOOL E: Service Area Director - Facilitating Alignment Sessions	32
SUMMARY	36
Glossary	37

OVERVIEW

This guide details the new Quarterly Performance Alignment (QPA) process. Supervisors and employees should refer to this guide for information and support as they perform the QPA process every quarter, as well as during new employee or supervisor training.

Employees and supervisors play critical roles in the ongoing assessment, feedback, and development of the City of Fort Collins' high-performing workforce. This QPA Process Guide is designed to help employees and supervisors work together to:

- Define and align individual employee goals/objectives with City priorities
- Develop a pattern of timely and meaningful feedback
- Increase the amount of attention given to the employee's development needs and interests

To be effective, QPA must be embraced by both employees and supervisors.

EMPLOYEE RESPONSIBILITIES:

City of Fort Collins employees are expected to take ownership of their behaviors, results, development and career planning.

During Feedback Discussions:

- Maintain a clear understanding of individual goals and how supervisors, co-workers, and City programs support them.
- Set concrete measures such as target dates and/or specific actions to track progress.
- Ask how individual goals support the City's strategic priorities and ongoing operations.
- Review behavior competencies to understand expectations for **how** work should be accomplished.
- Identify knowledge gaps, deficiencies in technical and interpersonal skills, and other developmental needs.
- Identify what is needed to excel via an individual development plan (IDP).

Ongoing Throughout the Quarter:

- Inform supervisors of progress or problems. Employees can ask for help at any time and schedule a meeting with their supervisor to seek assistance.
- Conduct a mid-quarter self-assessment to determine how well progress is being made toward quarterly and long-term goals, and whether additional coaching or training is needed.
- Participate in feedback discussions and meetings as opportunities to discuss achievements, areas for improvement, and career interests.
- Recognize that the City's organizational priorities and strategic plan, and your department's objectives can change; adjust goals and/or development plans as needed.

SUPERVISOR RESPONSIBILITIES:

Crucial to the effectiveness of the QPA process, supervisors are responsible for working closely with their employees to clearly convey and ensure shared understanding of what employees are expected to achieve and how they are expected to achieve it. Supervisors are expected to:

- Create an environment that encourages open, two-way discussions
- Schedule and prepare for quarterly feedback discussions
- Explain the City's strategic priorities/operations and how each employee's work contributes to them
- Have regular conversations and provide feedback to avoid surprises; address issues in a timely and appropriate way
- Provide direction, support, and coaching
- Create and modify individual goals based on changing roles, responsibilities, and the City's strategic priorities

This QPA Process Guide is for classified, unclassified management, and contractual employees. Although QPA is not required for hourly and seasonal employees, supervisors may find it helpful to use parts or all of this guide as a tool for evaluating those employees.

QPA AND PREVIOUS PROCESSES

QPA is an outcome of the 2014 Compensation & Career (CCP) study conducted with City of Fort Collins employees. The results revealed that a new process was needed to address challenges and deficiencies of past performance management processes.

QPA process objectives:

- **Timely** and **meaningful** feedback rather than a single annual evaluation
- **Simplified** performance evaluation process
- Establish a **clear line of sight** through metrics on key processes to help employees see how they contribute to the success of the City
- Bring **feedback from multiple perspectives** into the process
- Foster service to the community through measurable, attainable **goals that link to strategic priorities**
- Clear linkage between performance management and 2016 **pay process**

What are the main differences between the previous Pay for Performance process and QPA?

PFP	QPA
Annual review, ratings, and documentation	Quarterly and recurring meaningful dialogue
Formal meeting	Frequent, informal conversations
Annual review looking at past performance	Emphasis on reflection and future performance
Minimal emphasis on individual development	Stronger emphasis on individual development
Focus on documentation	Simplified forms; focus on meaningful dialogue
Minimal focus on growth & development	Enhanced growth and development for all employees
Vague link to strategic priorities	Stronger link to strategic priorities
Performance ratings forced into a bell curve	Accurately assesses performance
All employees spent more time filling out forms and other documentation; supervisors less time providing timely and meaningful feedback	Supervisors spend more time on coaching, providing feedback, etc.; all employees spend less time on documentation

QPA & TOTAL REWARDS

QPA is the performance management process attached to the Meaningful Work element of the City's Total Rewards strategy. It helps employees to understand how they contribute to the City's strategic goals and long-term success.

The City of Fort Collins' vision is to provide world-class municipal services through operational excellence and a culture of innovation. This is why the City established the Total Rewards strategy where *every employee perceives the City of Fort Collins as a great place to work and an employer of choice to attract, retain, engage, develop, and reward employees.*

The City has a workforce of highly motivated employees who are driven to excel and dedicated to serving the community. Employees care about the services they provide, the community they support, and the people they work with.



TOTAL REWARDS: 5 ELEMENTS



AFFILIATION

– Commitment to the community; fulfilling a higher purpose, sense of belonging, and team culture



CAREER

– Investing in yourself to develop your skills through training



COMPENSATION

– Pay and cash rewards for your work and performance



BENEFITS

– Non-cash benefits for your work; health, retirement, and wellness programs



MEANINGFUL WORK

– Providing meaningful and challenging work in a motivating environment where **performance** improvement enables personal and professional growth



MEANINGFUL WORK

As part of the Meaningful Work element, QPA is based on the City's belief that employees should be provided with:

- Meaningful and challenging work in a motivating environment
- Clear roles and expectations to empower them to be successful



We perform at our best when there is clear direction and ongoing, constructive feedback on our performance. All employees should know why their work is meaningful and be told when they are doing a good job. Also, no one can reach their full potential without feedback on what they need to improve upon. To develop and excel at work, everyone needs guidance, support and encouragement!

City employees take pride in and are held accountable for their performance. Therefore, QPA supports employees in improving their skills over time by setting goals and receiving continuous feedback to enable personal and professional growth.

QPA delivers a simplified performance evaluation process:

- Establishes clarity on City's priorities
- Measures performance
- Supports employee growth and development

QPA

QPA: 5-STEP PROCESS

QPA features five steps to accurately assess performance.

SUPERVISOR ALIGNMENT (two times per year):

Supervisors align performance expectations within a Service Area.

STEP 1: GOAL ALIGNMENT

- Employees set/revise Individual Goals and Individual Development Plans that are aligned with the City's Strategic Plan Objectives.

STEP 2: SELF-ASSESSMENT

- Employees complete a self-assessment to report demonstrated Results and Behaviors over the past 90 days.

STEP 3: SUPERVISOR ASSESSMENT

- Supervisors complete a supervisor assessment to evaluate employee Results and Behaviors.

STEP 4: FEEDBACK DISCUSSION

- Employees and supervisors meet to discuss the employee's past and future performance.

STEP 5: QPA Process Closed

- The conversation between the employee and supervisor has been completed; any differences in ratings have been discussed and reconciled. Closing out the QPA process in T/R requires the supervisor to click "Submit."

Duration: The duration of the QPA process is determined by each employee and their supervisor. However, the process is intended to take about 45 minutes per quarter for each employee—including preparation, documentation and discussion.

SUPERVISOR ALIGNMENT

As part of the QPA process, supervisors align performance expectations twice a year within their Service Area to achieve the following:

- Ensure consistent application of performance ratings and criteria across different areas of the organization and provide a common baseline of how the organization views the various levels of performance
- Empower supervisors to develop skills to effectively manage performance through:
 - Assessing and differentiating performance
 - Recognizing strong performance
 - Having difficult conversations about poor performance

Supervisor Alignment is facilitated by Service Area directors, who receive additional coaching on how to effectively lead the QPA process. All supervisors in a given area meet to discuss performance indicators and standards that represent their distinct work. Supervisors then jointly craft rating definitions for the categories assigned within the Performance Management System (Talent|Reward). Supervisors will use these definitions as a guide for the QPA process, especially to provide written comments in the Supervisor Assessment form, during feedback discussions, and when assigning ratings.

STEP 1: Goal Alignment

Each quarter, employees will use the Performance Management System (Talent|Reward) to create and assess individual goals and development plans.

This important step of the QPA process allows employees to:

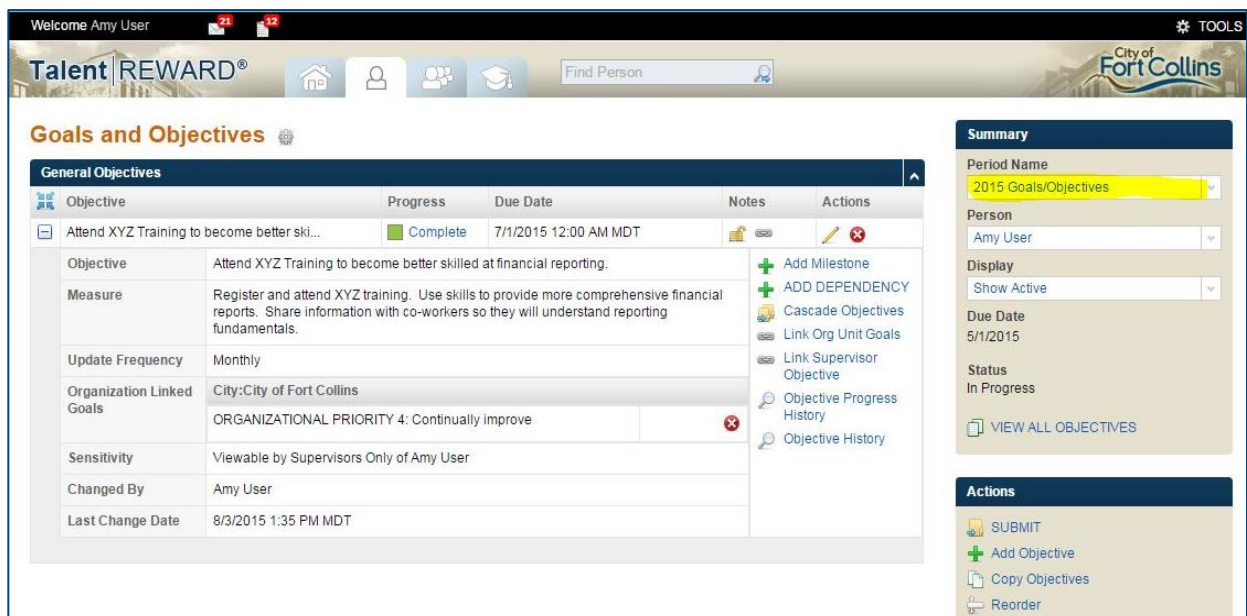
- Set goals/objectives that they are expected to achieve
- Define how they are expected to achieve goals
- Discuss learning and skill development that may be needed to achieve goals

Note for Supervisors: Supervisors are expected to play a significantly supportive role in guiding employees on how to best set/adjust goals and create individual development plans. Supervisors should review employee goals in the Performance Management System.

Employees can revisit their goals and development plans regularly to ensure alignment with the City’s Strategic Plan (<http://citynet.fcgov.com/cmo/strategicplan.php>), or make adjustments to goals, timelines, etc., based on current job roles and duties.

Regular discussions need to be conducted between employees and their supervisors in order to agree on a practical set of actions for how employees can achieve their goals.

Goals and development plans are documented in the Performance Management System (Talent|Reward).



Talent|Reward Goals and Objectives screen.

INDIVIDUAL GOALS & OBJECTIVES

Employees use Talent|Reward to create and/or revise individual goals and objectives each quarter. Employees could have three to five goal objectives at any given time. For example, employees with capital improvement projects may have more than five goal objectives because one or more of their goals may span one year or more. Additionally, as goals are accomplished, new goals can be added at any time.

The goals and objectives are specific deliverables and tasks related to current job roles and duties. They are *not* a job description or work plan. Instead, they are brief descriptions of what the employees are expected to accomplish. When documenting goals/objectives employees are limited to 4,000 characters.

Employees should use the “**SMART**” criteria as a guide when developing their goals:

Specific: Goal is a clear statement of an observable action or result that will be achieved.

Measurable: Uses a method or procedure to assess and describe the result in terms of, for example, quality, quantity, cost and/or time.

Attainable: Goal is realistic and achievable within the parameters of a given timeline and available resources.

Relevant: Goal is consistent with the employee’s role in the organization.

Trackable/Time-Bound: A time limit is identified for achieving the goal.

Strong SMART Goal: Decrease the time spent responding to customer service emails to 60 minutes each day by the end of this quarter.

Weak SMART Goal: Spend less time responding to email.

Also, keep in mind that goals should:

- Be dynamic and customized to the employee
- Capture targeted goals in progress and goals to be implemented in the future
- Include specific team objectives (if employee’s team has defined specific goals)

It is critical that employees clearly understand their role in achieving City priorities.

Employees should know how their day-to-day activities and individual goals/objectives help the organization achieve its yearly priorities. To ensure this alignment, employees should refer to the following resources:

- ✓ [City’s Strategic Plan](#)
- ✓ [City’s Behavior Competencies](#)
- ✓ [Vision, Mission, Values](#)
- ✓ [Job Descriptions](#)
- ✓ [Department/Service Area Goals \(link via Talent|Reward\)](#)

By utilizing these resources, employees can develop goals that reflect tasks or assignments they are expected to complete. Also, employees may have special projects or priorities that change with each QPA. Examples include:

- Supporting a new program by completing a research assignment
- Developing a communications plan
- Designing a program evaluation framework

For more help on goals, refer to QPA Tool A: Creating Goals located in this guide.

NOTE FOR SUPERVISORS:

When helping employees create and revise individual goals, supervisors should:

- Help employees establish connections to the City’s priorities that will motivate and drive them
- Avoid settling on “cut and paste”-type goals; be willing to tailor goals to leverage individual strengths, interests, and primary responsibilities
- Remember that goals are fluid and dynamic in nature; prepare to help employees through the process of revising their goals/objectives when appropriate

INDIVIDUAL DEVELOPMENT PLAN (IDP)

City of Fort Collins employees are expected to take ownership of their professional development. Within the QPA process, this expectation is supported through individual development plans that capture professional development goals and steps for how those goals will be met. When documenting IDPs, employees are limited to 3,000 characters.

Employees and supervisors need to keep in mind that IDPs should be realistic and something that supervisors can support.

Professional development goals may be directly tied to an individual goal or job requirement. They can also be specific to an employee’s future career development/career path. It may be helpful for employees to consider the following questions:

- Where do you want to be within the organization in the next three to five years?
- What steps might you take to reach your long-term career goals?

Also, it is appropriate to identify learning and skill development activities, such as mentoring, coaching, job shadowing, and online training that will help employees achieve their goals and excel in their career progression.

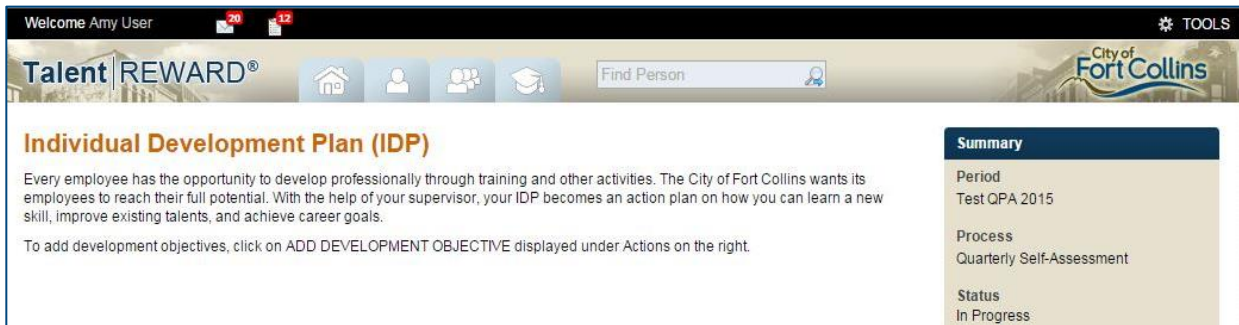
- **Strong development objective:** Learn the role, responsibilities, and qualifications required to become a supervisor through job shadowing on three different days next quarter.

- **Weak development objective:** Learn more about supervisor positions.

IDPs should be easy to understand by all and clearly written with detailed descriptions. **The greatest understanding needs to be between an employee and their supervisor.**

Supervisors are expected to work closely with their employees to make sure IDPs identify the activities and resources needed for the employee to succeed immediately, as well as progress toward long-term career goals.

For supervisors to offer the most helpful guidance, employees must be open and honest about their development plans. Employees need to explain what they think they need to know or learn in order to improve their work, as well as their interests relating to future career goals and positions.



Talent|Reward Individual Development Plan (IDP) screen.

For more help with IDPs, refer to **QPA Tool B: Creating Individual Development Plans in this guide.**

STEP 2: Self-Assessment

Each quarter, employees will use the Performance Management System (Talent|Reward) to complete a self-assessment to report over the past 90 days.

NOTE FOR SUPERVISORS:

While supervisors do not need to document anything for Step 2, it is important for them to understand the ways in which employees are being instructed to complete this part of the QPA process. Supervisors should review the employee's development plan using the Performance Management System.

Within the self-assessment form, employees document their work performance for two categories: Results and Behaviors. Results are the “what” and Behaviors are the “how.”

- **Results:** Include accomplishments and progress achieved in pursuit of individual goals. How well you achieved your job responsibilities, goals, and objectives.
- **Behaviors:** Include behavior competencies demonstrated that support individual, team, and City goals; the means and methods used to achieve results; and the actions and values demonstrated. Behavior competencies describe how employees are expected to carry out their work and achieve work objectives. They are included in the self-assessment because **how** work gets done is just as important as **what** work gets done. Behavior competencies at the City of Fort Collins include the following (individual departments may have behavior competencies, as well):
 1. Communication/interpersonal
 2. Customer service
 3. Knowledge, skills, and abilities
 4. Safety
 5. Teamwork

All supervisors are employees, and they are also leaders. Therefore, as leaders, they are evaluated on two additional competencies:

1. Decision Making
2. Management

Supervisors: emphasize that employees should only report Results and Behaviors performed during the previous 90-day period. *Employees are **not** required to comment on every objective, every result, or every behavior.* Instead, focus on what is most relevant to the past 90 days and/or those that required changes.

Talent|REWARD®City of Fort Collins

Quarterly Performance Alignment (QPA)

In this step you will complete two sections. For the RESULTS section, assess how well you achieved your job responsibilities, goals and objectives. Refer to your **2015 Goals** set earlier in the year for assistance.

For the BEHAVIORS section, describe how you achieved your results and what values you demonstrated. Refer to the City's competencies for assistance in answering this question. <http://citynet.fcgov.com/humanresources/payperf-performance.php#competencies>

Results

Describe how well you achieved your job responsibilities, goals, and objectives. Results are the "What", behaviors are the "How".

Rating	<div style="display: flex; align-items: center;"> <div style="border: 1px solid #ccc; padding: 2px; margin-right: 5px;">On Track</div> <div style="margin-left: 5px;">▼</div> <div style="margin-left: 5px;">Rating Definitions</div> </div>
Comments	<div style="border: 1px solid #ccc; padding: 5px; min-height: 100px;"> <p>I have completed the XYZ training and am now ready to put into practice what I learned.</p> <p>The ABC project is in progress but I am waiting on vendors to complete their work before I can move forward.</p> </div>

Behaviors

Provide a brief description on the means and methods used to achieve results, as well as the actions and values that you demonstrated.

Rating	<div style="display: flex; align-items: center;"> <div style="border: 1px solid #ccc; padding: 2px; margin-right: 5px;">On Track</div> <div style="margin-left: 5px;">▼</div> <div style="margin-left: 5px;">Rating Definitions</div> </div>
Comments	<div style="border: 1px solid #ccc; padding: 5px; min-height: 100px;"> <p>In order to complete the XYZ training, I consulted with my team to ensure there was adequate coverage for my job during my absence.</p> <p>Using respect and crucial conversation skills, I am working with the vendor on the ABC project to move the project along.</p> </div>

Summary

Period
Test QPA 2015

Process
Quarterly Self-Assessment

Status
In Progress

Employee
[Amy User](#)

Reviewer Name
[Joan User](#)

Actions

[Next Step](#)

Step Summary

- [Quarterly Performance Alignment \(QPA\)](#)
- [Individual Development Plan \(IDP\)](#)
- [Attachments](#)
- [Summary](#)

Talent|Reward Results and Behaviors screen.

STEP 3: Supervisor Assessment

Each quarter, supervisors will use the Performance Management System (Talent|Reward) to complete employee assessments.

NOTE FOR EMPLOYEES: While employees do not need to document anything for Step 3, it is important for them to understand the ways in which supervisors are being instructed to complete this part of the QPA process.

Supervisors review their employee’s input, which includes goals, development plan, and self-assessment.

When reviewing the **Results** category, supervisors assess the employee’s performance against their goals, as well as performance indicators or standards.

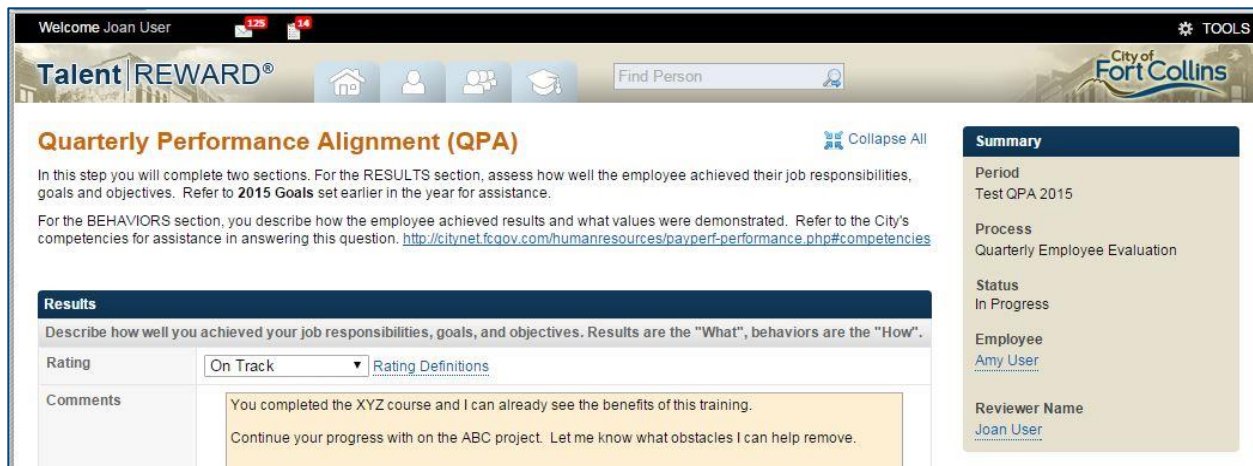
When reviewing the **Behaviors** category, supervisors assess the employee’s performance based on how well they demonstrated the expected behaviors (i.e., demonstrating integrity and respect, working effectively with others, and showing initiative/being action-oriented).

Supervisors document feedback for each section of the assessment form. Feedback focuses on:

- Details, if their assessment differs from the employee’s assessment
- Comments that reflect evidence and reasons why the employee is given a specific rating (refer to the Ratings section located in this guide).

When documenting feedback, supervisors are limited to 3,000 characters.

With QPA’s emphasis on frequent, meaningful dialogue and feedback between supervisor and employee, any written input in the supervisor assessment form is likely to have already been shared or discussed with the employee. *The odds of an employee being surprised by feedback in the assessment form should be very low.*



Talent|Reward screen: supervisor response to employee input.

STEP 4: Feedback Discussions

After all assessments are complete, an employee and their supervisor will have a face-to-face feedback discussion.

This meeting should be a two-way conversation that focuses on past performance *and* forward focus on performance and development. There is no definitive structure for the feedback discussion. However, here are some suggestions of topics to cover:

- How the service area/department/team is doing, including alignment of the employee's goals to overall organizational objectives.
- How the employee is doing in terms of their Results and Behaviors demonstrated over the past 90 days against their individual goals.
- What the employee needs to be doing differently, including revision and/or realignment of goals if necessary.
- Personal development interests and needs that are important to the employee's future success and growth.

During the feedback discussion, employees should be encouraged to be open and honest, to ask questions, and to identify ideas. Ensure mutual understanding between the supervisor and employee of where the employee is headed as an individual, team member, and part of the organization. Feedback discussions should:

- **Clarify Priorities:** Employees should ask their supervisor for help in prioritizing and balancing conflicting priorities. Supervisors are the best resource for assisting employees in aligning and approaching work based on the employee's strengths and interests to have the greatest opportunity for growth and success.
- **Identify and Remove Obstacles:** Employees should ask their supervisor about potential obstacles that may prevent achievement of individual goals and personal growth. Working together, they should develop a practical plan for removing each obstacle.
- **Simplify Work:** Employees should ask their supervisor how they can simplify or scope work so results can be achieved.
- **Enable Career Progress:** Employees and supervisors should jointly make decisions that enable employees to progress in their short- and long-term job and career goals.

Conducting feedback discussions on a quarterly basis fosters a culture of timely and meaningful dialogue and development. Ideally, the regularity of this type of dialogue ensures the ease and quickness of the QPA process.

For additional help with feedback discussions, refer to QPA Tool C: Feedback Discussion Preparation located in this guide.

Also, supervisors can get help by referring to Job Tool D: Giving Feedback located in this guide.

STEP 5: QPA Process Closed

At this point, the conversation between the employee and supervisor has been completed and any differences in ratings have been discussed and reconciled. Closing out the QPA process in Talent/Reward requires the supervisor to click “Submit.”

Summary

The information that you have entered is summarized below. If you wish to make any changes, click the corresponding "REVISIT" link. Once you are satisfied with your entries and want to submit this Employee Evaluation as complete, click the "SUBMIT" button in the actions area of this page.

If review approval is required, you should schedule a review with this employee after approval is given. If approval is not required, you should schedule the review after submitting this evaluation.

Quarterly Performance Alignment (QPA)

Section : RESULTS

RESULTS: Provide a brief description of accomplishments and progress achieved in pursuit of individual goals. Results are the "What", Behaviors are the "How".

Answers	Cathy User - Employee	
Rating Answer	On Track	
Comment	test	
Janet User - Primary Reviewer		
Rating Answer	Outperforming	
Comment	supervisor comments	

Section : BEHAVIORS

BEHAVIORS: Provide a brief description on the means and methods used to achieve results, as well as the actions demonstrated. Include behavior competencies demonstrated that support individual, team, and City goals. Results are the "what", behaviors are the "how".

Answers	Cathy User - Employee	
Rating Answer	On Track	
Comment	test	
Janet User - Primary Reviewer		
Rating Answer	On Track	
Comment	supervisor comments	

Actions

- Previous Step
- VIEW MID-YEAR FEEDBACK
- Print Friendly
- Submit**

Step Summary

- Quarterly Performance Alignment (QPA)
- Individual Development Plan (IDP)
- Attachments
- Summary

Talent|Reward evaluation complete and submit screen.

Ratings are assigned each quarter for two categories: Results and Behaviors.

Results include accomplishments, progress, and challenges associated with individual, team, and City goals. Behaviors include demonstrated key behavior competencies (communication/interpersonal; customer service; safety; knowledge, skills and abilities; teamwork) that support individual, team, and City goals.

Twice a year, supervisors in each Service Area are expected to align rating definitions to ensure consistent definitions of performance. (Refer to the Supervisor Alignment section of this guide.)

For each category, supervisors assign one of three ratings:

- **On Track:** Employee consistently meets expectations and is successful in current role (most common rating).
- **Outperforming:** Employee consistently demonstrates superior performance and/or goes above and beyond the scope of his or her current role (i.e., taking on and succeeding in additional responsibilities or accomplishing major milestones).
- **Needs Improvement:** Employee performance is below expectations in one or more areas. Rating does not mean employee is failing, but rather some action is required to get back on track. A performance improvement plan or development goals should be established.

Ratings should result in few surprises if employees and supervisors have timely and meaningful dialogue throughout the quarter.

The following is an example of feedback for an On Track rating in the Results category:

CATEGORY	RESULTS
RATING	On Track: Employee consistently <u>meets</u> expectations and is successful in current role (most common rating).

FEEDBACK

During the past quarter, Ted consistently met expectations and was successful in his role.

- Applied business and technical expertise to achieve individual and team performance goals
- Recognized issues, problems or opportunities impacting his role and offered solutions in response
- Demonstrated a continuous improvement mindset; sought out opportunities, made suggestions, and collaborated with team members to work more efficiently and improve results. For example, he improved the processes and procedures for the Customer Complaints process. Ted should continue to improve processes related to his job and stretch to improve processes organization-wide.
- Demonstrated a thorough understanding of skills required to perform his job. For example, when working with customers, Ted follows the standard processes and policies for handling complaints and is diligent about completing the required follow-up paperwork in a timely manner.
- Actively elicits feedback from his customers and requires minimal supervision to fulfill his job responsibilities. He displays a better than usual understanding of his job and the jobs of others. Because he has mastered his current job skills, I encourage him to think creatively about additional skills and techniques that will help his future career development.

The following is an example of feedback for an Outperforming rating in the Results category:

CATEGORY	RESULTS
RATING	Outperforming: Employee consistently demonstrates superior performance and goes above and beyond the scope of current role (i.e., taking on and succeeding in additional responsibilities or accomplishing major milestones).

FEEDBACK

During the past quarter, Sam consistently demonstrated superior performance and went above and beyond the scope of his current role.

- Applied technical knowledge and expertise to achieve individual goal of implementing new software and training co-workers on how to use it.
- Demonstrated significant progress on budget management skills. During the past quarter he not only operated within his approved budget, but also made maximum use of his budget allocation.
- Demonstrated innovative thinking to increase the City's profits and revenues. He developed a strategy to conserve organizational resources by changing team daily processes.
- Showed resourcefulness when solving complex problems. For example, when faced with a difficult issue, he actively sought help from internal supervisors and co-workers, as well as external experts and online knowledge bases.
- Consistently worked to improve customer satisfaction. Received positive customer feedback about going above and beyond to ensure that upset customers become completely satisfied. He has emerged as a leader among his team and frequently assists co-workers with finding resources and procedures to resolve customer complaints.

The following is an example of feedback for a Needs Improvement rating in the Results category:

CATEGORY	RESULTS
RATING	Needs Improvement: Employee performance is below expectations in one or more areas. Rating does not mean employee is failing, but rather some action is required to get back on track. A performance improvement plan or development goals should be established.

FEEDBACK

During the past quarter, Jim's performance fell below expectations in more than one area. Action is required to get back on track to achieve development goals.

- Did not demonstrate technical expertise necessary to carry out daily responsibilities.

- Attendance record did not meet standard expectations. During the last quarter he was absent and late to work on more than five occasions and did not follow standard absence procedures. When taking time off for any reason, it is crucial that he: 1) provides adequate notice of time off, 2) confirms his responsibilities will be covered by others, 3) follows up when he returns to find out what happened during his absence.
- Did not demonstrate minimal mastery of customer service processes. For example, rather than following the customer service complaint script he improvised and used his own approach, which failed to resolve problems.
- Needs to participate in mandatory trainings. If unclear about how to effectively use technology, he needs to actively seek assistance from supervisors.
- Goals for the next quarter need to be realistic and attainable. We will work together to identify and remove limiting obstacles and develop a specific action plan to ensure achievement of quarterly goals and overall advancement of professional development.

The following is an example of feedback for an On Track rating in the Behaviors category:

CATEGORY	BEHAVIORS
RATING	On Track: Employee consistently <u>meets</u> expectations and is successful in current role (most common rating).

FEEDBACK

During the past quarter, Keith consistently meets expectations and is successful in his role.

- Collaborated effectively across departments. For example, Keith received positive feedback from employees in different departments saying that he was able to effectively communicate the types of support tools he needs to be successful in his own job. Further, other supervisors have complimented his overall pleasantness and interpersonal demeanor.
- Effective in building positive peer relationships among his own team members. He should continue to work on conducting open and honest communication and information sharing.
- Contributed to the development of other team members by sharing technical knowledge and expertise.
- Demonstrated flexibility and willingness to adapt during process changes. For example, during the new software implementation, his positive attitude contributed to the cohesive buy-in of the new processes and procedures and helped cut down the animosity among his team.

- Received difficult feedback in a positive way from supervisors and co-workers. For example, he has learned to control his urge to “lash out” when given criticism. He should continue to work on his ability to listen and apply constructive feedback and criticism from coworkers.
- Recognized as an empathetic listener. When working with customers he makes each individual know he likes working with them and values their time. It is suggested that Keith apply his skill excellence in active listening when communicating with his co-workers as well.

The following is an example of feedback for an Outperforming rating in the Behaviors category:

CATEGORY	BEHAVIORS
RATING	Outperforming: Employee consistently demonstrates <u>superior</u> performance and goes above and beyond the scope of current role (i.e., taking on and succeeding in additional responsibilities or accomplishing major milestones).

FEEDBACK

Over the past quarter, Sally consistently demonstrated superior performance and went above and beyond the scope of her current role.

- Influenced others through establishing trust and credibility. For example, in her leadership role she gives candid, constructive feedback to team members and in turn, actively requests feedback from them.
- Excellence in teamwork skills. She consistently directs her actions toward the success of the team over her own interests. For example, Sally frequently volunteers to help others in an effort to improve the strength of the entire team. This behavior has greatly contributed to building a strong team spirit and identity.
- Effective communicator when presenting complex topics to apathetic and sometimes hostile audiences. For example, this has been especially helpful to the City during the recent unpopular change in compensation plans.
- Demonstrated initiative in problem solving. When unforeseen issues arise, her peers have started to rely on her to take initiative and find resolutions.
- She is consistently trying to improve her behavioral performance by setting and revising individual goals that are consistent with the City of Fort Collins' behavioral proficiencies.

The following is an example of feedback for a Needs Improvement rating in the Behaviors category:

CATEGORY	BEHAVIORS
RATING	Needs Improvement: Employee performance is <u>below expectations</u> in one or more areas. Rating does not mean employee is failing, but rather some action is required to get back on track. A performance improvement plan or development goals should be established.

Feedback

Over the past quarter, Jack’s performance fell below expectations in more than one area. Action is required to get back on track to achieve development goals.

- Needs to work to improve relationships with peers and key stakeholders in the organization.
- Should be more diligent about informing and involving project stakeholders (e.g. teammates and supervisors) at the first sign a deadline might not be met. In addition to providing information when requested, he should also proactively communicate information to the team as issues arise.
- Work on organization and time efficiency skills. He should prioritize daily work responsibilities and adequately plan for unforeseen changes to the schedule. For example, during the next quarter it will be necessary to be more flexible when integrating changes into existing schedules.
- Improve participation during mandatory trainings and apply new procedures in daily work. For example, trainers have noted that Jack resists training and frequently reverts back to doing things the way he has always done it. It may be necessary to set-up a plan for one-on-one coaching in this area.
- Continue to improve leadership skills. Although he continues to quickly assume a strong leadership role when action is needed, he would be a stronger leader if he exhibited greater confidence in himself as well as in others. Upon occasion, his actions have resulted in a lack of respect and trust from others.
- Demonstrated improvement in listening and not interrupting others when they are speaking. He should continue to set new interpersonal goals that involve working to communicate in a style and tone that the listener finds easy to accept and understand.

PROVIDING UPWARD SUPERVISOR FEEDBACK (COMING Q3 2016)

Supervisor feedback will occur once in 2016 and twice a year starting in 2017. This will allow employees and supervisors time to adjust to the new QPA process. Instructions on how to provide feedback will be available in the future.

ADDITIONAL RESOURCES

In addition to this QPA Process Guide, available resources include:

- [City of Fort Collins Strategic Plan](#)
- QPA Tools (located at the end of this guide)
- [City of Fort Collins QPA Core Team](#)
- [Total Rewards/QPA](#)

QPA TOOL A: CREATING GOALS

Each quarter, employees should follow these steps to set or revise individual goals/objectives. Employees should have three to five goals/objectives at any given time. For example, employees can have more than five goals. Also, goals can be accomplished, and a new goal can be added at any time.

FIRST (1), review City of Fort Collins resources:

- ✓ [City's Strategic Plan](#)
- ✓ [City's Behavior Competencies](#)
- ✓ [Vision, Mission, Values](#)
- ✓ [Job Descriptions](#)
- ✓ [Department/Service Area Goals \(link via Talent/Reward\)](#)

Criteria	Means that...	Ask yourself...
Specific	Goal is a clear statement of an observable action or result that will be achieved.	<ul style="list-style-type: none"> • What exactly am I expected to do? • What strategies, rules, processes, guidelines, etc. will I use? • Is it clear who is involved? • Is it clear where this will happen? • Is the outcome clear? • Will this objective lead to the desired outcome?
Measurable	There is a method or procedure to assess and describe the result in terms of quality, quantity, cost, and/or time.	<ul style="list-style-type: none"> • Will this indicator or standard demonstrate that I have successfully completed or continue to meet the goal? • Can these measurements be obtained?
Attainable	Goal is realistic and achievable. It is challenging, but not extreme. Goals set too high or low become meaningless and will not be a source of motivation.	<ul style="list-style-type: none"> • Can I accomplish this goal in the proposed time frame with the resources I have? • Do my supervisor and I both understand any potential limitations or constraints that could get in the way? • Has anyone else done this successfully?
Relevant	Goal is consistent with the employee's role in the organization.	<ul style="list-style-type: none"> • Do I have the skills, knowledge and authorities to achieve this objective? • If not, what steps can my supervisor or I take to obtain them?
Trackable/ time-bound	There is a time limit set to achieve the goal.	<ul style="list-style-type: none"> • When will this work objective be accomplished? • Is there a stated deadline (date, quarter)?

SECOND (2), use “SMART” criteria to draft goals:

Examples of SMART goals:

- By Dec. 31, 2015, I will develop and implement a customer service plan that results in department staff reporting that they are clear about expectations for excellent customer service and have the skills and support to perform at that level.

- By Jan. 1, 2016, I will update the employee handbook to include clickable links to websites.

THIRD (3), seek supervisor guidance to ensure that goals:

- ✓ Are dynamic and customized to the individual
- ✓ Capture targeted goals in progress and future goals
- ✓ Include specific team objectives (if employee's team has defined specific goals)
- ✓ Align with department and/or organization objectives
- ✓ Ensure **meaningful contribution**

QPA TOOL B: Creating Individual Development Plans (IDPs)

What is the purpose of the Individual Development Plan?

As a City of Fort Collins employee, you are expected to take ownership and maintain accountability for your own professional development. The purpose of the Individual Development Plan is two-fold:

1. Gain focus on professional goals
2. Identify specific training/learning needs required to achieve goals

Individual Development Plans should be realistic and something that supervisors can support. If written effectively, they can function as an excellent motivation tool to stimulate productivity toward goals.

How do I create professional development goals?

Professional development goals may be directly tied to an individual goal or job requirement. They can also be specific to future career development. Ask the following questions:

- Q. What direction is my organization going? What will the organization need from its employees in the future?
- Q. Where do I want to be within the organization in the next three to five years?
- Q. What are my greatest strengths and how can I build on them more effectively?
- Q. Do I have any serious weaknesses that make it difficult to do my job or will prevent me from reaching my goals?

How do I identify learning development needs?

When discussing development goals, it is necessary to identify specific learning and development activities that are required. Here's how to identify learning opportunities:

- **Mandatory Job-Specific Learning:** This includes coursework that must be completed successfully for a position, or that must be taken on a periodic basis to keep occupational certifications or professional standards up to date.
- **Specialized Job-Specific Learning:** This includes training or learning that can help develop one's skills and competencies to master the duties of a current position. It could include a course or workshop to upgrade computer skills, self-directed learning to improve communication skills, or participating in a coaching or mentoring program to learn from an expert in the field.
- **Career Development Learning:** This includes learning and development that can help progress one's career. Consider interests and career goals to help determine whether developmental opportunities are appropriate, such as job shadowing, assignments, working on special projects, exchange programs and/or certifications or college degrees.

How can my supervisor help me with my individual development plan?

Your supervisor expects to work closely with you to make sure your individual development plan identifies the activities and resources needed for you to succeed immediately in your current job and progress toward long-term career goals. Your supervisor can offer the most helpful guidance if you are open and honest about your development plans. Do not be afraid to share your interests regarding future goals and positions and be forthcoming about what you think you need to know or learn to improve your work.

QPA TOOL C: Employees - Feedback Discussion Preparation

What is the purpose of the feedback discussion?

Employees and supervisors should use feedback discussions as an opportunity to address the employee's individual goals and individual development plan, as well as to foster a shared understanding about performance goals and expectations.

As an employee, what can I do to prepare for my feedback discussion?

- ✓ Share your completed self-assessment with your supervisor. This will give your supervisor the opportunity to add comments and reference specific materials during your meeting.
- ✓ Review your self-assessment to remind yourself of successes and/or setbacks experienced during the past 90 days that may have affected your performance.
- ✓ Be open to feedback and recognize that it is essential to effective performance in your current job and to advance in your career.
- ✓ Familiarize yourself with the rating scale used in QPA (refer to the Ratings section located in this guide).

QPA TOOL D: Supervisors - Giving Feedback

QPA is all about **providing timely and meaningful** feedback to employees. This will help them to achieve their goals and develop their career paths.

What role does feedback play in QPA?

The timeliness, approach, and delivery of effective feedback are crucial to the success of the QPA process.

When should I be giving feedback?

Feedback should be given during every stage of the QPA process. While the quarterly checkpoints are important, ad-hoc opportunities to engage with your employees are just as important.

Supervisors should always be looking for key areas to support employees through coaching and direct feedback channels.

What topics should I cover?

There is no definitive structure for feedback, but it may cover the following:

- How the service area/department/team is doing, including alignment of the employee's goals to overall organizational objectives
- How the employee is doing in terms of their Results and Behaviors demonstrated over the past 90 days against their individual goals
- Anything the employee needs to be doing differently, including revision and/or realignment of goals
- Personal development interests and needs important to the employee's future success and growth

What are some points of discussion that will support employees' progress toward achieving their goals?

- **Priorities:** Help employees clarify and balance conflicting priorities among their individual strengths and interests.
- **Obstacles:** Identify and create a practical plan for removing obstacles that may prevent achievement of goals and personal growth.
- **Simplify Work:** Help employees simplify or scope work so results can be delivered.
- **Enable Career Progress:** Listen to what your employees want from their careers and align their goals with the needs of the organization.

FEEDBACK DO'S	FEEDBACK DON'TS
<ul style="list-style-type: none"> • Listen (vs. talk) • Communicate expectations • Use examples • Make employees feel comfortable • Have employees' backs • Make joint decisions • Deliver feedback frequently 	<ul style="list-style-type: none"> • Pre-judge • Create guesswork about your expectations • Surprise employees • Avoid the truth; be dishonest • Be afraid • Avoid a Crucial Conversation

QPA TOOL E: Service Area Director - Facilitating Alignment Sessions

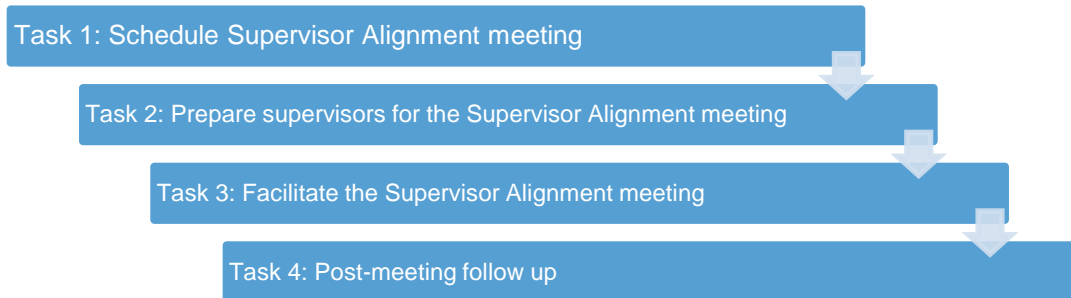
What is the purpose and expected outcomes of the QPA Supervisor Alignment sessions?

Within the context of the City of Fort Collins’ organization-wide beliefs and strategic objectives, each service area carries out distinct work that is driven by distinct objectives. Therefore, differences exist across the organization in terms of individual supervisors’ expectations of pay increase/excellence and their processes for evaluating employees’ performances. These differences are acknowledged in the Supervisor Alignment session element of QPA:

- Ensure consistent application of performance ratings and provide a common baseline of knowledge for how the organization views each performance level (on track, outperforming, or needs improvement).
- Empower supervisors to effectively manage performance through developing skills to assess and differentiate performance, recognize strong performance appropriately, and conduct difficult conversations about poor performance.

What is the Service Area Director’s role in the Supervisor Alignment process?

The Service Area Director is responsible for facilitating the Supervisor Alignment session and ensuring a tone of inclusivity by inviting each supervisor to voice their perspective. Follow this facilitation process:



TASK 1: Schedule Supervisor Alignment meeting

Supervisor Alignment meetings are held **twice per year**—at the beginning of Q1 and Q3. It is important to schedule these meetings for the start of the quarter **before** Feedback Discussions begin and before Ratings are assigned.

All supervisors within your respective Service Area should attend the meeting.

TASK 2: Prepare supervisors for the Supervisor Alignment meeting

You can use the following message as a template to prepare your supervisors for your meeting. The “Ratings Definition Chart” referred to in the message is provided below.

Greetings,

This message contains important information and instructions to help you prepare for the upcoming QPA Supervisor Alignment meeting.

Please keep in mind the expected outcome of this meeting is to jointly establish performance expectations for our service area that ensure consistent application of ratings (*Outperforming, On Track, and Needs Improvement*) and criteria.

To prepare for this meeting it is a good idea to review the ratings process in the QPA Process Guide on CityNet. There are two key things for you to know about this process:

- 1) Supervisors assign each employee two ratings—one for Results and one for Behaviors.
 - “Results” include accomplishments, progress and challenges associated with individual, team, and organizational goals.
 - “Behaviors” include key behavior competencies (communication/interpersonal; customer service; safety; knowledge, skills and abilities; teamwork)

- 2) Supervisors assign one of three ratings per category, with general definitions of each category as follows:
 - **On Track:** Employee consistently meets expectations and is successful in current role (most common rating).
 - **Outperforming:** Employee consistently demonstrates superior performance and/or goes above and beyond the scope of his or her role (i.e., taking on and succeeding in additional responsibilities or accomplishing major milestones).
 - **Needs Improvement:** Employee performance is below expectations in one or more areas. Rating does not mean employee is failing, but rather some action is required to get back on track. A performance improvement plan or development goals should be established.

Prior to our meeting, please think about the performance expectations you hold for your employees with regard to current job descriptions, team goals, and Citywide strategic objectives. What does it take to do this job right? What are the success indicators? What are failure indicators?

During our meeting, I will use the attached chart to help us craft performance expectations for the various ratings that can be assigned within Talent|Reward. I encourage you to come to our meeting with a good idea about how you would complete this chart, speaking from your unique perspective and including specific examples of work performances that are carried out by your team.

I look forward to hearing each one of your opinions and perspectives during our upcoming meeting.

TASK 3: Facilitate the alignment meeting

You can use the following agenda as a template:

<p>1) Explain purpose and expected outcomes of Supervisor Alignment process</p>	<p>To jointly establish performance expectations for our service area that ensure consistent application of ratings (<i>Outperforming, On Track, and Needs Improvement</i>) and criteria.</p>
<p>2) Craft rating definitions</p>	<p>Use the Rating Definitions Chart to craft rating definitions. As a group, refine your list of criteria for each category to create clear rating definitions.</p>
<p>3) Discuss next steps in QPA process</p>	<p>Discuss how supervisors should use these ratings definitions to guide:</p> <ul style="list-style-type: none"> • Written comments they provide in the Supervisor Assessment form (completed in Talent Reward) • Feedback Discussions • Rating assignments (completed in Talent Reward)

TASK 4: Post-meeting follow up

You can use the following message as a template.

I appreciate your participation in our recent Supervisor Alignment meeting.

For your reference, here are the general definitions we decided upon for each rating:

[Insert your completed Ratings Definition Chart]

As a reminder, you should use these ratings to guide your next steps in the QPA process including: written comments you provide in the Supervisor Assessment form (completed in Talent|Reward), feedback discussions, and rating assignments.

I welcome your questions and concerns about our Supervisor Alignment meeting and the QPA process.

RATING DEFINITIONS CHART

RATING	CATEGORY	DEFINITION	EXAMPLES
On Track	Results		
	Behaviors		
Outperforming	Results		
	Behaviors		
Needs Improvement	Results		
	Behaviors		

SUMMARY

Remember, for QPA to be effective, it must be embraced by both employees and supervisors. It is important that strong and meaningful relationships are developed.

As we continue to build on the QPA process, expect additional tools and training to make it – and you - successful. Visit the [Total Rewards](#) page because new content will be posted soon.

Also, please feel free to contact the [Core QPA Team](#) with any questions, concerns, or feedback. Your thoughts are valued!

Glossary

Alignment: Employees/supervisors are expected to align their performance goals with City of Fort Collins' goals as well as their individual and departmental goals.

Behavior: Behaviors are the “how” you achieved your results and what values you demonstrated -- the employee's performance based on how well they demonstrated the expected behaviors (i.e., demonstrating integrity and respect, working effectively with others, and showing initiative/being action-oriented).

Competency: The outcome and the results of performance.

Documentation: Written information that supports statements/evidence. For example, employees document their goals via Talent/Reward.

Feedback: Supervisors are expected to give their employees meaningful feedback to improve or reinforce an employee's work performance and to help employees see how they contribute to the success of the City.

Goal: Goals are desired outcomes that define what the City or department is trying to accomplish.

IDP (Individual Development Plan): An action plan on how you can learn a new skill, improve exiting talents and achieve career goals.

Measurable: A method or procedure to assess and describe work results (i.e., quality, quantity, cost and/or time).

Metric: Metrics provide hard data to support evaluation of an employee's performance relative to objectives.

Objective: Precise, time-based, measurable actions that support the completion of a goal.

Performance: The accomplishment of work. An employee's performance will be based on Results and Behaviors.

Priority: That work which must be done first.

QPA: The performance management process attached to the Meaningful Work element of the City's Total Rewards strategy. QPA helps employees understand how they contribute to the City's strategic goals and long-term success.

Rating: A rating is a reflection of your assessment of meeting competency requirements and progress of established goals and objectives.

Responsibility/Duty: An employee's obligation to perform works tasks.

Result: The employee's performance against their objectives, as well as performance indicators or standards.

Self-Assessment: An individual's own assessment or evaluation of his/her job performance.

Service Area: Subdivision of the City. Each Service Area in the City of Fort Collins has its own process/features (e.g., Community & Operations Services, Employee & Communication Services, Financial Services, Planning Development and Transportation, Police Services, Sustainability Services and Utility Services).

Skill: A developed talent or ability.

SMART: Establish objectives that are "Specific, Measurable, Achievable, Relevant, and Time-bound." Use "SMART" criteria as a guide when developing your objectives.

Supervisor: Supervisors oversee an employee's work performance and evaluates performance based on Results (how you achieved your job responsibilities, goals and objectives and Behaviors (how your achieved your results and values).

Strategic: Focus your goals and objectives so they clearly articulate your individual priorities, and support departmental and City priorities.

Talent/Reward: T/R is the performance system the City of Fort Collins uses to document employee goals, objectives and to assess employee results and behaviors tied to those goals/objectives.

Task: A brief description of what the employees are expected to accomplish.

Total Rewards: A strategy to attract, retain, engage, develop, and reward employees. The elements that make up Total Rewards includes: AFFILIATION – Commitment to the community; fulfilling a higher purpose, sense of AFFILIATION belonging, and team culture; CAREER – Investing in yourself to develop your skills through training; COMPENSATION – Pay and cash rewards for your work and performance; BENEFITS – Non-cash benefits for your work, health, retirement, and wellness programs, and; MEANINGFUL WORK – Providing meaningful and challenging work in a motivating environment where performance improvement enables personal and professional growth.

PERFORMANCE APPRAISAL TOOLKIT

DATED: MAY 25, 2018

TOWN OF DANVILLE
Human Resources



Table of Contents

Purpose	Page 1
Roles and Responsibilities	Page 2
Schedule and Process	Page 4
Rating Guidelines	Page 8
SMART Objectives	Page 12
Conducting an Evaluation	Page 13
Frequently Asked Questions	Page 14
Resources	
“Delivering an Effective Performance Review” by Rebecca Knight, Harvard Business Review. November 3, 2011	
“How to Give Feedback People Can Actually Use” by Jennifer Porter, Harvard Business Review. October 27, 2017	
“Mastering the Art of Negative Feedback” by Arlene S. Hirsch, MA, LCPC. April 9, 2018	

Purpose

Fundamentally, the Town's performance appraisal system is a process that is intended for employee growth. It is an opportunity to recognize accomplishments and positive behavior as well as to address needed changes and opportunities for improvement. Its purpose is to:

1. Reinforce or clarify the connection between the employee's job duties and how they support the Town's vision and mission;
2. Address necessary changes in the job, the organization and/or work environment;
3. Establish performance expectations for the employee in at least three areas:
 - a. Technical performance (knowledge, skills, quality, quantity, timeliness, etc.)
 - b. Professional development (leadership, stretch assignments, etc.)
 - c. Soft skill development (customer service, emotional intelligence, teamwork, etc.)
4. Review the employee's performance based on the Town-established standards and performance expectations; and
5. Maintain an on-going communication between the supervisor and the employee to eliminate any surprises during the yearly evaluation meeting.

It is essential that both the supervisor and employee fully participate in order for the process to be successful. This Performance Appraisal Toolkit (the "Toolkit") is intended to provide guidance and resources for delivering a successful performance evaluation.

Roles and Responsibilities

Supervisors' Responsibilities

1. Develop performance objectives and expectations (technical, professional and soft skill) that align the employee's work with the Town's vision and mission.
2. Communicate performance objectives and expectations to employee, observe progress and provide feedback, as well as coach and mentor.
3. Seek feedback from those who have observed or interacted with the employee (including peers and direct reports).
4. Review the employee's self-evaluation and discuss with employee.
5. Document employee performance on quarterly evaluations.
6. Consult with Division Manager, Director and/or Human Resources on the evaluation if necessary or appropriate.
7. Schedule an evaluation meeting with the employee that allows sufficient time for discussion of their performance.
8. Encourage employees by highlighting achievements, praising good performance and giving recognition.
9. Document poor performance and provide direction on ways of correcting issues. Set a timeframe to achieve and demonstrate improvement.
10. Provide guidance in, or offer specific training related to, areas that need improvement.
11. Commit to ongoing training on preparing and delivering evaluations.
12. Respect the timelines set for the completion of evaluations.

Employees' Responsibilities

1. Document own performance throughout the year, including achievements and accomplishments.
2. Actively listen to feedback and coaching.
3. Seek guidance or assistance from manager and/or Human Resources, if required or desired.
4. Communicate own expectations and needs to supervisor.
5. Provide feedback to supervisor.
6. Identify and communicate opportunities for personal growth and professional development with supervisor throughout the year.
7. Take personal responsibility for own job satisfaction.

Schedule and Process

At the Town, the *formal step* of recording an employee’s performance and progress on individual goals and objectives occurs on a quarterly basis:

Evaluation	Type	Period	Due
1 st Quarter	Simple check-in	7/1 – 9/30	October
2 nd Quarter (Mid-Year)	Assessment on progress on performance objectives	7/1-12/31	January
3 rd Quarter	Simple check-in	7/1 – 3/30	April
4 th Quarter (Year-End)	Comprehensive review of all performance areas and performance objectives	7/1 – 6/30	July

However, it’s important to remember that performance appraisal is an *ongoing process* rather than four individual events and it’s important to provide feedback throughout the year.

Merit increases for eligible employees are given subsequent to the year-end evaluation, subject to funding availability and based on Town Council authorization. The amount of individual merit increase is based on the employee's overall performance rating.

Process: Quarterly and Mid-Year Evaluations

1. Supervisor documents progress on established annual goals and objectives and sets a meeting with the employee to review performance.
2. Supervisor verbally reviews quarterly evaluation with employee.
3. Employee discusses needs, concerns, ideas or comments with the supervisor.
4. Both the supervisor and employee sign the quarterly form, make copies for each to retain, and submit the original to Human Resources (be sure to make original on appropriate color for each quarter).

Process: Year-End Evaluation

1. Human Resources will provide all employees with a Year-End Evaluation Schedule.
2. Supervisor and employee document performance throughout the year.
3. Employee completes a self-evaluation form and submits it to their supervisor.
4. Employee verbally indicates to supervisor the names of two or more Town employees who can provide feedback on the employee's individual and team performance for peer evaluation. Supervisor may choose to interview and solicit feedback from the names provided and/or others if deemed necessary or appropriate to do so.
5. Supervisor conducts peer evaluations.
6. Supervisor prepares employee evaluation based on his/her observation of employee's performance throughout the year, submitted self-evaluation and peer evaluation interviews.
7. Supervisor submits the evaluation to the Department Director for review, comments and/or modifications.
8. Department Director provides evaluation to Human Resources Manager for review.
9. Human Resources Manager reviews the evaluation for properly written measurable objectives and to ensure that the rating is supported by documentation.
10. Supervisor makes modifications, if directed, and returns the evaluation to the Department Director.
11. Supervisor sets meeting for year-end performance review with the employee.
12. Supervisor then reviews year-end evaluation with employee and discusses any comments or concerns. If modifications to the evaluation are agreed on, supervisor will make changes on the evaluation form. The original signed evaluation form is submitted to Human Resources by the end of July – the supervisor and employee each retain a copy of the evaluation.

Process: Probationary Employees

1. Supervisor sets goals, objectives and expectations to be achieved during the six-month probationary period in memo form.
2. Supervisor and employee meet to discuss the performance objectives during the first week of employment with the Town. After discussing the performance objectives and expectations, the supervisor and employee sign the memo. The original copy is submitted to Human Resources and a copy is retained by the supervisor and employee.
3. After three months of probation, the supervisor documents the employee's progress on the first quarter evaluation form.
4. Supervisor meets with the employee to review the employee's first three months of performance and provides coaching for the employee. The evaluation form is signed and the original is submitted to Human Resources. The supervisor and employee retain a copy.
5. At five and one-half months, if the probationary employee is expected to pass probation, the supervisor documents the progress on the year-end evaluation form and sets new goals and objectives to be achieved in the months ahead. The supervisor indicates on the form that probation has been passed. The original form, with signatures, is submitted to Human Resources. The supervisor and employee retain a copy.
6. If the employee is not expected to pass probation, the supervisor must meet with the Department Director and Human Resources to discuss next steps.

Process: Difference of Opinion

If an employee disagrees with his/her supervisor on all or some portion of the evaluation, the employee can either: (1) state the reasons for disagreement on the back of the evaluation form and place their signature next to the explanation; or (2) submit a written memo to Human Resources within five (5) days of receiving the evaluation. This memo will be attached to the evaluation and retained in the employee's personnel file. If the employee refuses to sign his/her evaluation, the supervisor would write "refused to sign" on the employee signature line, date it and submit the unsigned evaluation to Human Resources.

Rating Guidelines

As part of the Year-End Evaluation, non-probationary employees are evaluated and given one of the following overall performance ratings (fractional ratings are not accepted):

<p>5 - Outstanding</p>	<p>Demonstrates “Exceeds” standards performance; in addition, employee shows mastery in regard to all duties and responsibilities of the position; continually takes on and successfully completes new challenges; suggests useful improvements and new directions; demonstrates exemplary leadership skills and perform as an outstanding team member.</p> <p><i>Differentiated from “Exceeds” rating by the ability to consistently perform at a high level in all performance areas year-over-year despite new challenges. Periodically, this rating is also given to employees who have performed or delivered an extraordinarily challenging and unique project or service.</i></p>
<p>4 - Exceeds</p>	<p>Indicates overall performance exceeds requirements in most essential areas; employee demonstrates initiative, offers solutions, is self-directed, has a positive attitude and takes responsibility for the whole organization; employee requires minimal supervision.</p> <p><i>Differentiated from “Outstanding” rating by limited mastery of performance areas, where improvement is required in some areas.</i></p>
<p>3 - Meets</p>	<p>Indicates employee meets overall performance standards and has attained appropriate skill level within the job classification; employee requires minimal supervision.</p> <p><i>Differentiated from “Exceeds” rating by limited experience and/or need for performance improvements in some areas.</i></p>
<p>2 - Improvement Needed</p>	<p>Indicates that overall performance met some requirements but specific areas need to be improved or given special attention; employee needs continual supervision.</p> <p><i>Differentiated from “Meets” rating by inconsistent performance (among job duties or year-over-year) and/or significant improvement(s) are necessary in key technical or soft skills.</i></p>
<p>1 - Unacceptable</p>	<p>Indicates that overall performance does not meet minimum standards for the position; this constitutes unsatisfactory performance and continued employment under these conditions is questionable.</p> <p><i>Continued employment is subject to ability to successfully meet the objectives set forth in a Performance Improvement Plan.</i></p>

Town of Danville | Performance Rating Comparison Matrix

“Outstanding”	“Exceeds”	“Meets”	“Improvement Needed”	“Unacceptable”
Summary Rating	Summary Rating	Summary Rating	Summary Rating	Summary Rating
<p>Demonstrates “Exceeds” standards performance; in addition, employee shows mastery in regard to all duties and responsibilities of the position; continually takes on and successfully completes new challenges; suggests useful improvements and new directions; demonstrates exemplary leadership skills and perform as an outstanding team member.</p>	<p>Indicates overall performance exceeds requirements in most essential areas; employee demonstrates initiative, offers solutions, is self-directed, has a positive attitude and takes responsibility for the whole organization; employee requires minimal supervision.</p>	<p>Indicates employee meets overall performance standards and has attained appropriate skill level within the job classification; employee requires minimal supervision.</p>	<p>Indicates that overall performance met some requirements but specific areas need to be improved or given special attention; employee needs continual supervision.</p>	<p>Indicates that overall performance does not meet minimum standards for the position; this constitutes unsatisfactory performance and continued employment under these conditions is questionable.</p>
<p><i>Differentiated from “Exceeds” rating by the ability to consistently perform at a high level in all performance areas year-over-year despite new challenges.</i></p> <p><i>Periodically, this rating is also given to employees who have performed or delivered an extraordinarily challenging and unique project or service.</i></p>	Part I: General Performance	Part I: General Performance	Part I: General Performance	<p><i>Continued employment is subject to ability to successfully meet the objectives set forth in a Performance Improvement Plan.</i></p>
	Individual Performance	Individual Performance	Individual Performance	
	<p><i>Customer Service:</i> Consistently courteous, professional; takes responsibility for a problem; often goes above-and-beyond.</p>	<p><i>Customer Service:</i> Courteous; delivers service with a professional demeanor; takes responsibility for a problem.</p>	<p><i>Customer Service:</i> Can be unprofessional in demeanor; appears unresponsive; reluctant to help internal or external customers.</p>	
	<p><i>Positive Attitude:</i> Demonstrates can-do attitude in tackling challenges; open and willing to new approaches; possesses an optimistic approach to problem solving.</p>	<p><i>Positive Attitude:</i> Displays optimistic approach to work and problem solving; open and willing to try new approaches.</p>	<p><i>Positive Attitude:</i> Displays pessimistic approach to work; reluctant to tackle problems; reluctant or unwilling to try new approaches.</p>	
	<p><i>Vision and Mission:</i> Champions the Town’s vision and mission; contributes through active participation on committees/group efforts.</p>	<p><i>Vision and Mission:</i> Understands and performs in a manner consistent with the Town’s vision and mission.</p>	<p><i>Vision and Mission:</i> Areas of performance and service delivery is inconsistent with the Town’s vision and mission.</p>	
	<p><i>Leadership:</i> Sets and achieves ambitious goals; proactively tackles tough issues; establishes clear direction; implements policies; encourages innovation; participates in committee efforts; strategic thinker; coaches and mentors others.</p>	<p><i>Leadership:</i> Sets and achieves goals; helps resolve issues; supports key policies; offers new ideas and/or approaches; offers advice to colleagues.</p>	<p><i>Leadership:</i> Could be more proactive; shows favoritism; does not set clear direction; conflict avoidant; ineffective promoter of innovation; coaches or mentors selectively.</p>	
	<p><i>Communication:</i> Able to be clearly understood, in written and verbal form; successfully adapts style to the audience.</p>	<p><i>Communication:</i> Able to be understood, in written and verbal form.</p>	<p><i>Communication:</i> Unable to be clearly understood (uses jargon or confusing terms); presentation of concepts are disorganized or unclear; uncommunicative.</p>	
	<p><i>Active Listening:</i> Able to fully concentrate, comprehend and re-state what is being said; seeking to first to understand others before seeking to be understood by others.</p>	<p><i>Active Listening:</i> Able to fully concentrate and comprehend what is being said; displays empathy.</p>	<p><i>Active Listening:</i> Inattentive listener; unable to comprehend what is being said.</p>	

	<i>Dependability:</i> Does whatever it takes to get something done; proactively adjusts schedule to adapt to changing circumstances; consistently follows through; requires minimal supervision.	<i>Dependability:</i> Completes work in the time and manner that is required; has good attendance record; follows through on commitments; requires minimal supervision.	<i>Dependability:</i> Does not meet commitments, needs supervision to meet deadlines; unreliable attendance.	
	<i>Quality of Work:</i> Sets high standards, monitors output and process for quality control, and adjusts as necessary.	<i>Quality of Work:</i> Produces work and delivers service with limited errors; does not repeat the same mistakes.	<i>Quality of Work:</i> Lacks attention to detail and accuracy; inconsistent in achieving standards; makes same mistakes repeatedly.	
	<i>Growth & Development:</i> Actively seeks feedback; pursues understanding of self and other work styles; willing to adapt and change.	<i>Growth & Development:</i> Accepts feedback; seeks to understand strengths and weaknesses; supports change.	<i>Growth & Development:</i> Resists feedback; unaware of strengths/weaknesses; needs to expand knowledge base; resists change.	
	<i>Policies & Practices:</i> Understands, adheres to, champions, and able to explain the “why” of policies and practices.	<i>Policies & Practices:</i> Understands, supports and adheres to policies and practices.	<i>Policies & Practices:</i> Can fail to adhere to policies and practices.	
	Team Work/Organizational Effectiveness	Team Work/Organizational Effectiveness	Team Work/Organizational Effectiveness	
	<i>Offers Support/Assistance:</i> Watches out for the organization and proactively provides aid to others.	<i>Offers Support/Assistance:</i> Provides aid to others when directed or requested.	<i>Offers Support/Assistance:</i> Can be reluctant to offer help or assistance.	
	<i>Positivity/Cordial:</i> Displays warmth, openness and is welcoming; demonstrates respectfulness, displays an optimistic approach to teamwork and group efforts.	<i>Positivity/Cordial:</i> Displays openness and is welcoming; demonstrates respect when engaged with others.	<i>Positivity/Cordial:</i> Displays tendency to be disagreeable, skeptical and/or excessively critical; possesses an attitude that tends to expect the worst of people or situations.	
	<i>Fosters Team Mentality:</i> Actively promotes inclusiveness, team spirit and common way of thinking; encourages others to perform their best; values the contribution of all group members.	<i>Fosters Team Mentality:</i> Displays inclusiveness; encourages others; values the contribution of all group members.	<i>Team Mentality:</i> Reluctant to support (or critical of) activities that promote team spirit; tend to favor or recognize the contributions of select group members.	
	<i>Respectful of Others’ Needs/Deadlines:</i> Actively plan to meet own deadlines to ensure others can meet theirs; consistently asks “who else would this impact” in consideration of all actions or decisions. Applicable to supervisors and managers: consistently on time with evaluations.	<i>Respectful of Others’ Needs/Deadlines:</i> Able to meet own deadlines to ensure others can meet theirs; aware of actions and their impact on other parts of the organization. Applicable to supervisors and managers: mostly on time with evaluations.	<i>Respectful of Others’ Needs/Deadlines:</i> Consistently fail to recognize or dismisses the importance of meeting deadlines; pursues actions that negatively impact others in the organization. Applicable to supervisors and managers: Can fail to be on time with evaluations.	
	<i>Coordination with Others:</i> Consistently considers “who else needs to know” in any effort and proactively incorporates stakeholder input in the planning and execution of work. Seeks feedback.	<i>Coordination with Others:</i> Able to consider “who else needs to know” in a project and seek to include them in the planning and execution of work.	<i>Coordination with Others:</i> Needs to share more information; tendency to work alone; could interact with others more often; needs to engage other stakeholders in efforts that affect others in the organization.	

	Part II: Duties & Responsibilities	Part II: Duties & Responsibilities	Part II: Duties & Responsibilities	
	The employee has exceeded requirements in most essential areas within the job classification, requires minimal supervision and demonstrates the ability to successfully implement “stretch assignments.”	The employee has attained appropriate skill level within the job classification to perform his/her duties and responsibilities at established standards. Requires minimal supervision.	The employee has met some performance requirements but specific areas need to be improved or given special attention; employee needs continual supervision.	
	Part III: Current Performance Objectives	Part III: Current Performance Objectives	Part III: Current Performance Objectives	
	Employee has successfully achieved the objectives outlined in their Performance Objective Plan by doing whatever it took to get them done within the time frames established. Employee requires minimal to no assistance; takes initiative; strategic and forward-thinking; overcomes challenges.	Employee has achieved the objectives outlined in their Performance Objective Plan within the time frames established. Employee requires limited assistance in delivering objectives.	Employee has met some (but not all) of the objectives ; inconsistent with their ability to deliver the objective on time when no external forces would cause them delay. Employee needs continual supervision.	
	Part IV: Performance Objectives (Future)	Part IV: Performance Objectives (Future)	Part IV: Performance Objectives (Future)	
	Performance objectives should include at least three areas: a. Technical goals related to projects or programs; b. Professional development, such as certifications and leadership; and c. Soft skill development, such as customer service and emotional intelligence. Consider providing including: d. Stretch assignments in a technical, professional development and/or soft skill development area.	Performance objectives should include at least three areas: a. Technical goals related to projects or programs; b. Professional development, such as certifications and leadership; and c. Soft skill development, such as customer service and emotional intelligence.	Performance objectives should include at least three areas: a. Technical goals related to projects or programs; b. Professional development, such as certifications and leadership; and c. Soft skill development, such as customer service and emotional intelligence. Consider providing including: d. Objectives that focuses on an area that needs improvement; note if this objective would be more heavily weighted in the upcoming year.	

SMART Objectives

It is the responsibility of a supervisor to provide each of their employees with a performance plan, which contains S.M.A.R.T. objectives, for the upcoming year. In the case of probationary employees, this is provided within the first week of employment with the Town.

Objectives should include at least three areas: (a) technical goals related to projects or programs; (b) professional development, such as certifications and leadership; and (c) soft skill development, such as customer service and emotional intelligence.

<p>Specific (and Clear)</p>	<p>Start with the end in mind. The objective should be a one sentence description of the goal or standard, and should answer the questions:</p> <ul style="list-style-type: none"> • What will you achieve (what is to be done)? • How will you know when it's done? <p>To ensure that it is specific, describe it in a way that is observable.</p>
<p>Measurable (with Measurements)</p>	<p>The objective should answer the question of "how do you define success?" This can be achieved by incorporating:</p> <ul style="list-style-type: none"> • Quantity expectations (ex: perform 12 inspection stops per day) • Quality expectations (ex: achieve on-time goal 90% of the time) • Frequency expectations (ex: conduct one plan review audit per quarter) • Cost expectations (ex: deliver 90% of projects at or under budget)
<p>Achievable</p>	<p>The objective should be one in which:</p> <ul style="list-style-type: none"> • Employee has the experience, knowledge or capability of fulfilling the expectation; and • Resources, time and opportunity are available to achieve it.
<p>Relevant</p>	<p>The objective should answer the question of "why are we doing this?" and should also:</p> <ul style="list-style-type: none"> • Aligns with the Town's Vision and Mission; • Supports the departments strategic direction; • Does not impact other workgroups in a detrimental way (i.e., does not solve one issue while inadvertently creating issues for others).
<p>Time Frame</p>	<p>The objective should answer the question, "when will it be done?" This objective has start, milestone and completion dates built into it.</p>

Conducting the Evaluation

The evaluation should be held in a private and quiet location without distractions. Prior to the interview, the supervisor is expected to review the employee's job description or responsibilities list, Town performance standards and expectations, and the employee's goals and objectives.

During the Evaluation

1. State the purpose and special goals of the meeting. Review and discuss performance first, before development goals.
2. Review the evaluation, point by point, with the employee and provide specific examples of performance. Be sure to discuss specific work completed, overall achievements, and *behaviors* (not personal traits).

When providing negative feedback, discuss how the performance failed to meet the established standards or goals, providing specific examples of *actions* that failed to meet expectations. Discuss what should be done to improve performance.

3. Encourage employee to communicate during the interview. Supervisor should listen to the comments and respond appropriately.
4. Conclude the evaluation with a summary of the major points that were discussed; emphasize the work that has been accomplished and plans for the next evaluation period to ensure closure and shared understanding.

Handling Difficult Discussions

- Demonstrate concern by actively listening to the employee's point of view.
- Keep the discussion focused on job-related issues.
- Be firm if you have critical comments to deliver and be ready to back up the comments with facts and examples.
- Keep your cool, even if the discussion becomes heated. If necessary, it's okay to end the conversation and continue it at a different time.

Frequently Asked Questions

1. What are the key differences between Outstanding and Exceeds?

It should be noted that an employee who has achieved an Exceeds Standards rating has reached a “high bar.” This employee is an individual that:

- Demonstrates initiative (proactive, not reactive)
- Is solutions oriented (offers options to obtain a goal, not reasons why it can't be)
- Is self-directed (does not wait to be told what to do)
- Takes responsibility for the whole organization
- Does what needs to be done (even when it's not in their job description)
- Displays positive attitude (state of mental optimism as “success is eighty percent attitude and twenty percent aptitude”)

An employee who has achieved an Outstanding rating has achieved mastery in all areas of performance (technical, teamwork, soft skills) as well as met their annual goals and objectives. Periodically, this rating is also given to employees who have performed or delivered an extraordinarily challenging and unique project or service.

It's rare to find employees who have achieved mastery within a few years of a new position (whether as a new hire or as a newly promoted individual) as this infers that there is “little left to learn” in their new position.

2. I've been told that Exceeds is already a great rating (better than Meets, which is good). My direct reports may not see it that way. They see that anything less than Outstanding is a negative rating, when it really isn't. How do I communicate this effectively?

One approach would be to break the evaluation into segments and review each performance area (i.e., individual performance, teamwork, duties and responsibilities, performance objectives) with the employee to discuss how they might perceive they've reached mastery in all areas of performance (technical, teamwork, soft skills, etc.) consistently year-over-year.

- 3. While we don't use letter grades, someone said that in order to make ratings more clear, we should communicate that "Outstanding is A+++, Exceeds is an A+, Meets is an A, Needs Improvement is a B, and unacceptable is a C... Which means that termination is a D or F.". Is this fairly accurate?**

No, it isn't. We continue to strive to clarify the differences among the ratings categories that we use, and to provide feedback that is as in depth as possible.

- 4. Do I average the different ratings, or do I weigh each section differently based on the needs of the position? If I weigh it based on the need, is it too subjective (evaluator can provide an overall grade that is too loose or too harsh)?**

The evaluation process is designed to be as objective as possible. This is the purpose for including numeric calculations. However, depending on the situation, some performance areas can be weighted higher than others if the supervisor believes that it's an area that requires focus and committed improvement during a particular year. In this instance, this special weighting should be discussed with the employee and noted as a performance objective.

- 5. We have been asked to gather "360-degree feedback" from peers and direct reports (if they have them). How many people should I consult with? How do I gather the feedback (in writing or verbally)? Is the feedback confidential or do I share the specific feedback with the employee being evaluated?**

It depends on the employee, their position and the particular situation. It's reasonable to solicit from fewer colleagues (but at least two) if an employee has limited interaction with others while performing work. Conversely, it would be appropriate to gather feedback from a larger range of individuals for an employee who interacts with many people (inside or outside of this organization).

The goal is always to maintain confidentiality unless the individual providing the feedback indicates it's fine to share it. However, the type and content of feedback may make this easier or more difficult. If you have any questions or concerns about what or how to share feedback, you should speak with your manager, director and/or Human Resources.

6. Should I have personal development conversation with the employee as part of the evaluation process or separately?

This depends greatly on how the evaluation process is going. Many times, the development conversation naturally flows into the year-end evaluation. However, there are times when it's appropriate to separate the two processes, particularly in situations where the employee may need time to absorb feedback that they had not expected.

7. Do I average the employee's performance over the year, or how they are doing as of the last quarter? If an employee has challenges during the first half of the year but improved in the second half, do I average out the score, or ignore it because they've improved? Or conversely, what if an employee did very well during the first half (or three quarters) but slipped up during the last quarter; how do I score?

The year-end evaluation is a culmination of an employee's performance for the full twelve months that make up the entire appraisal period. If there have been performance issues, consideration should be given to when they occurred, whether they were rectified or addressed, and how the employee's performance is trending.

The year-end rating should reflect how the employee performed in aggregate. In most cases, this would be an average score. However, in some instances, an employee's extraordinarily impactful actions (positively or negatively) could outweigh everything else. If you have questions or concerns, be sure to consult both your manager, director and/or manager or Human Resources.

8. What is the process if an employee disputes the ranking or comments? Do I need to make an adjustment or ask them to submit comments for the official record?

If an employee disagrees with his/her supervisor on all or some portion of the evaluation, the employee can either: (1) state the reasons for disagreement on the back of the evaluation form and place their signature next to the explanation: or (2) submit a written memo to Human Resources within five (5) days of receiving the evaluation. This memo will be attached to the evaluation and retained in the employee's personnel file. If the employee refuses to sign his/her evaluation, the supervisor would write "refused to sign" on the employee's signature line, date it and submit the unsigned evaluation to Human Resources.

9. Do I need to provide a detailed explanation for each criteria, or can I address each section in paragraph form?

It depends. Some positions, given their complexity and breadth of service, require a detailed explanation. This could also apply to employees who might have an objective to focus on a specific performance area. In other situations, the employee's role is simple enough that a summarized paragraph would suffice. If you have questions, be sure to consult your manager, director and/or consult Human Resources.

10. I heard that it may be a good idea to have feedback given in pairs, is that true?

The evaluation is intended to be a discussion between the supervisor and employee. In certain unique situations, it may be appropriate to have another person in the room. If you believe this is necessary and appropriate, be aware of the dynamic that this could create. Prior to proceeding, be sure to consult your manager, director and/or Human Resources as to the best course of action.

11. I have heard that I cannot include a performance issue in the Year-End Evaluation if sufficient time wasn't available to correct the concern, is that correct?

It's always ideal for issues to be raised and addressed before the close of the year-end evaluation. However, that may not always occur. For example, sometimes these issues surface only as a part of peer interviews that occur at the end of the year. Regardless of when the issue is raised, it is the supervisor's responsibility to document it, provide the feedback and work with the employee to rectify any concerns.

Resources

Harvard Business Review Article

“Delivering an Effective Performance Review”

by Rebecca Knight, November 3, 2011

DIFFICULT CONVERSATIONS

Delivering an Effective Performance Review

by Rebecca Knight

NOVEMBER 03, 2011



It's performance review season, and you know the drill. Drag each of your direct reports into a conference room for a one-on-one, hand them an official-looking document, and then start in with the same, tired conversation. Say some positive things about what the employee is good at, then
me unpleasant things about what he's not good at, and end – wearing your most solicitous grin –

with some more strokes of his ego. The result: a mixed message that leaves even your best employees feeling disappointed. But if you take the right approach, appraisals are an excellent opportunity to reinforce solid performers and redirect the poor ones.

What the Experts Say

For many employees, a face-to-face performance review is the most stressful work conversation they'll have all year. For managers, the discussion is just as tense. "What a performance appraisal requires is for one person to stand in judgment of another. Deep down, it's uncomfortable," says Dick Grote, author of *How to Be Good at Performance Appraisals*. Evaluating an employee's job performance should consist of more than an annual chat, according to James Baron, the William S. Beinecke Professor of Management at Yale School of Management. Performance management is a process, he says. "Presumably you're giving a tremendous amount of real-time feedback, and your employees are people you know well. Hopefully your relationship can survive candid feedback." No matter what kind of appraisal system your company uses, here are several strategies to help you make performance review season less nerve-racking and more productive.

Set expectations early

The performance review doesn't start with a sit-down in the spare conference room. You must be clear from the outset how you'll evaluate your employees. Grote suggests holding "performance planning" sessions with each of your direct reports at the beginning of the year, to discuss that person's goals and your expectations. "You'll see immediate improvement in performance because everyone knows what the boss expects," he says. "And it earns you the right to hold people accountable at the end of the year." Listen carefully to your employees' personal ambitions, as it will inform the way you assess their work. "Oftentimes managers are evaluating performance without necessarily knowing what that person's career aspirations are. We often assume that everyone wants to be CEO. But that's not always the case," says Barron. Understanding what your direct reports want from their careers will help you figure out ways to broaden their professional experiences.

Lay the groundwork

About two weeks before the face-to-face review, ask your employee to jot down a few things he's done over the last year that he's proud of. This will both help refresh your memory, and "will put a positive focus on an event that is so often seen as negative," says Grote. Next, go over other notes you've kept on your employee over the year: a well-executed project; a deadline missed; the deft

handling of a difficult client. Finally, ask for feedback from others in the company who work closely with your employee. “The larger number of independent evaluations the better,” says Barron. About an hour before the meeting, give your employee a copy of his appraisal. That way, he can have his initial emotional response – positive or negative – in the privacy of his own cubicle. “When people read someone’s assessment of them, they are going to have all sorts of churning emotions,” says Grote. “Let them have that on their own time, and give them a chance to think about it.” Then with a calmer, cooler head, the employee can prepare for a rational and constructive business conversation.

Set a tone

Too often the face-to-face conversation takes the form of a “feedback sandwich:” compliments, criticism, more niceties. But because there’s no single, clear message this approach demoralizes your stars and falsely encourages your losers. Instead, pick a side. “Most people are good solid workers, so for the vast majority, you should concentrate exclusively on things the person has done well,” says Grote, adding that this method tends to motivate people who are already competent at their jobs. For your marginal workers, however, do not sugarcoat bad news. Performance reviews are your chance to confront poor performers and demand improvement. “People are resilient,” says Grote. “As time goes on, that person is not going to get a promotion and not going to get a raise... You’re not doing this person any favors by [avoiding their deficiencies].”

Constructively coach

After discussing the strengths and achievements of your solid performers, ask them how they feel about how things are going. “In most cases you’re dealing with mature adults and you’ll elicit their honest concerns,” says Grote. For both solid and poor performers, frame feedback in terms of a “stop, start, and continue” model, suggests Barron. What is the employee doing now that is not working? What are they doing that is highly effective? What actions should they adopt to be more so? By focusing on behaviors not dispositions, it takes the personal edge out of the conversation. Give specific advice and targeted praise. “Don’t say things like: ‘You need to be more proactive.’ That doesn’t mean anything. Say something like: ‘You need to take more initiative in calling potential sales leads.’” Similarly, “Saying: ‘You’re an innovator’ is nice but it’s helpful to know exactly what they’re doing that reflects that,” says Barron.

Hold your ground

The hot button issues associated with performance reviews are money and rank. If your company allows it, separate any talk of compensation from the performance review. “But if you must, do not save the salary information for the end of the conversation,” says Grote, “otherwise there’ll be an invisible parrot above the employees’ head squawking: how much? throughout the entire discussion.” Rank is another place for potential bruised feelings. A majority of companies require managers to rate their employees – often on a scale of 1-5. Your goal is go over the data, and make a judgment call. Remember: the 1-5 system is not analogous to the A-F grading scheme in school; most employees will get the middle rank, a 3. This might leave some employees feeling let down, thinking they’re merely “average.” Don’t cave in. “In the corporate world, you’re dealing with a highly selective group,” says Grote. “The rules of the game have changed. In school, a C was mediocre, but a 3 in the working world means they’re meeting expectations. They’re shooting par.” Conveying that message is a leadership challenge. “People can accept it rationally but it may be hard to accept viscerally,” he says. “This is why it’s so important to hold a performance planning meeting at the outset. If they hit their targets, they are a 3. It’s a goal.”

Principles to Remember

Do

- Make it clear at the beginning of the year how you’ll evaluate your employees with individual performance planning sessions
- Give your employees a copy of their appraisal before the meeting so they may have their initial emotional response in private
- Deliver a positive message to your good performers by mainly concentrating on their strengths and achievements during the conversation

Don’t

- Offer general feedback; be specific on behaviors you want your employee to stop, start, and continue
- Talk about compensation during the review; but if you must, divulge the salary information at the start of the conversation

- Sugarcoat the review for your poor performers; use the face-to-face as an opportunity to demand improvement

Case Study #1: Understand and set goals together

Ben Snyder*, an expat working in London at a global media company, was new at his job. He inherited an employee, Jim, whose primary responsibility was to travel to Africa, the Middle East, and Russia to develop partnerships, which would ultimately drive sales to Ben's business. But Jim wasn't delivering.

"During quarterly performance reviews, Jim and I had long conversations about his approaches and the great relationships he was developing. I would tell him how glad I was that people were talking to him, that he was forming these relationships. But I also told him that that we needed tangible deals," says Ben.

This happened for three straight quarters: same conversation, no deals. Increasingly, though, Ben was under pressure: Jim was spending a lot of the company's money with nothing to show for it.

"I needed to scare him into action. At the next performance review, I gave Jim 90 days to close a deal."

Nothing changed and Jim was eliminated. "Even when we sat down with HR and let him go, he was genuinely surprised," recalls Ben.

In retrospect, Ben says he went overboard in validating Jim's spadework, and didn't establish the right tone during their conversations. "The message wasn't clear – Jim only heard what he wanted to hear – the positive praise about the relationship building. He ignored the demand to close deals."

Ben also should have worked harder in the beginning to understand the specifics of Jim's job, and set clear expectations. "It was a business I wasn't familiar with. I didn't know how to push him in the right direction because I wasn't exactly sure what he was doing. I had never really sat down with him and defined what success should look like."

Case Study #2: Be a better coach

Lucy Orren* worked as a director of business development at a biotech start-up in New Jersey. She managed Peter, who was, according to Lucy: “a real star. He was smart, very conscientious, and good at everything he tried.” One of Peter’s biggest responsibilities was giving presentations.

“One of the vice presidents at my company brought it to my attention that Peter too often used a certain crutch phrase, and that while he was a good speaker, he was very deliberate in the way that he spoke, which was sometimes too slow. She thought it portrayed a lack of energy. I thought it was a relatively minor problem but I decided to bring it up in the performance appraisal.”

During the face-to-face discussion, however, Lucy chickened out. “Peter was so good at his job, that I was reluctant to give him any criticism,” she says. “I tried to couch the advice when we were discussing his strengths. But I sugarcoated it too much, and he didn’t get it.”

At the very end of the conversation, Lucy highlighted areas of improvement. She told Peter to try to be more upbeat during in his presentations. The advice was too vague; Peter wasn’t sure what do with the recommendation.

“The next few presentations he gave were pretty rocky. He overcompensated,” recalls Lucy.

After one of his presentations, Lucy realized she needed to be more specific with her coaching. She warned him of the crutch phrase, and told him to try to speak faster.

“Peter came through, and improved on every level. He still uses the crutch phrase every so often, but there is more momentum to his presentations.”

*Names have been changed

Rebecca Knight is a freelance journalist in Boston and a lecturer at Wesleyan University. Her work has been published in The New York Times, USA Today, and The Financial Times.

Harvard Business Review Article

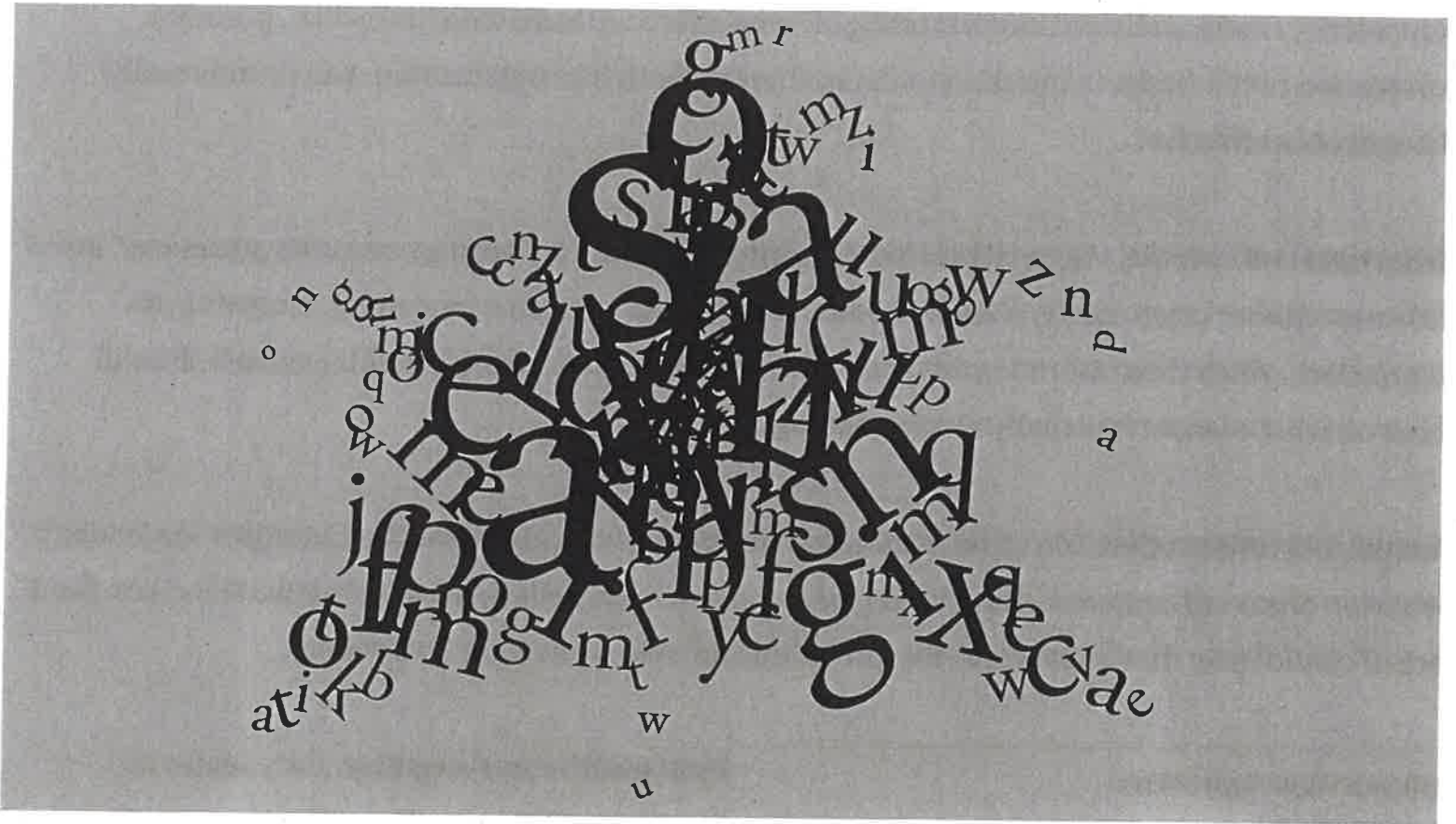
“How to Give Feedback People Can Actually Use”
by Jennifer Porter. October 27, 2017

GIVING FEEDBACK

How to Give Feedback People Can Actually Use

by Jennifer Porter

OCTOBER 27, 2017



plume creative/Getty Images

Over the last decade, I've conducted thousands of 360-degree feedback interviews with the colleagues of the leaders I coach. My goal with these sessions is to get a better sense of my clients' strengths and weaknesses, but more often than not, the feedback isn't particularly useful.

How do you give feedback that helps someone learn and improve? This *strategic developmental feedback* requires careful thought and insightful construction. This kind of feedback is:

Big-picture focused. The most useful feedback answers this question: “For this leader to be maximally effective, what should they do more of and less of?” It takes a strategic view of what the leader is doing effectively and less effectively today, and what they might continue or change to achieve the organization’s objectives in the future.

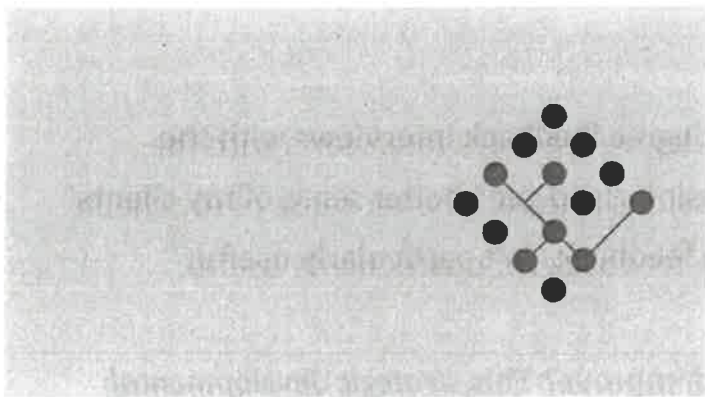
Organizationally aligned. Often, the feedback that people give me is based on the giver’s *personal* leadership beliefs or preferences, and yet the most useful feedback starts with an understanding of what the *organization* values. When a feedback giver says “She has a great sense of humor,” what they are usually saying is “Her sense of humor matches mine so I enjoy it. (And who cares if others don’t like sarcasm!)” Strategic developmental feedback is based on the organization’s leadership competency model, a shared understanding of what effective leadership looks like, or even a comparison of the leader in question with another leader in the organization who is universally thought of as effective.

Behavioral and specific. Vague labels like “inspiring,” “great,” or “lacking executive presence,” are of little use without more clarity. A leader needs to know that what they are doing is creating an impression, which then informs your label. The key word here is *doing*. Useful feedback should focus on what a leader is actually accomplishing.

Factual, not interpretive. Too often feedback is described with adjectives that interpret the leader’s behavior: *She is self-centered. He lacks confidence.* Even if you believe a leader’s behavior stems from lack of confidence, that is just your interpretation and may or may not be accurate.

YOU AND YOUR TEAM SERIES

Learning



Both positive and negative. For a leader to develop and increase their effectiveness, they need to know what they are doing well so they know to repeat it, and further improve upon it, as well as what they are doing less effectively so they can make adjustments. Despite the fact that many of us struggle to hear it, negative feedback serves as important fuel for other changes that are needed. And recognizing progress on meaningful

by Andersen

You Can Learn and Get Work Done at the Same Time

by Liane Davey

4 Ways to Become a Better Learner

by Monique Valcour

one email. What is more helpful is feedback on patterns of behavior that leverage specific events as examples. Looking at patterns helps alleviate recency bias where we tend to recall and over-weight events in our near-term memory.

Linked to impact. If I tell a leader she is a clear and concise communicator, that may feel good and be intellectually interesting but not much else. If I tell her that her clear communication has motivated her colleagues and helped them better understand the company's strategy and what is needed from them, that will help her prioritize this behavior relative to other behaviors.

Prioritized. Adults can only focus on and work on a few concepts at a time. A VP of HR recently shared a list of 37 development areas the president wanted a senior executive to address. I asked how the president prioritized the list. Her response was "They are all equally important." That executive is being set up to fail. There is no way he can effectively address 37 requested behavioral changes.

Putting it all together, instead of saying "Juan is afraid of conflict," strategic developmental feedback would sound like this:

"Juan's top two strengths, in terms of their impact on the business, are his strategic thinking and his ability to build strong relationships. More on that shortly. The most important gap for Juan to address to get to the next level is how he navigates conflict. Our organization is very direct and values leaders who confront issues head on, without inauthentic positivity. The pattern for Juan is that when he does not agree with a colleague's position, he remains silent about his opposition. I'm not sure why he does this, but the impact is that I think he is in agreement when he is not. And later, when he shares his

work – which positive feedback highlights – is one of the best drivers of engagement, motivation, and innovation.

Focused on patterns. Leaders tend to get the most feedback on a specific event – how they communicated in one meeting or responded to

opposition with me, it is frustrating to me because we have already put a plan in place based on the belief that he was in agreement. It causes rework and it lowers my trust in him. Let me give you a few examples of when this has happened...”

Creating feedback that is truly useful requires more care and attention than is typically invested. Like any skill – chess, golf, learning Mandarin – offering strategic developmental feedback requires that we pay attention to and do many things effectively and simultaneously. Given the opportunity to help others develop and become more effective, it’s worth the effort.

Jennifer Porter is the Managing Partner of The Boda Group, a leadership and team development firm. She is a graduate of Bates College and the Stanford Graduate School of Business, an experienced operations executive, and an executive and team coach.

This article is about GIVING FEEDBACK

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4 COMMENTS

Soura Bhattacharyya 5 months ago

I would add that quick feedback sessions (monthly) are immensely more valuable - they help avoid the recency bias, and provide greater impetus for change.

Society for Human Resource Management Article

“Mastering the Art of Negative Feedback”
by Arlene S. Hirsch, MA, LCPC. April 9, 2018



Mastering the Art of Negative Feedback

Radical candor, performance appraisals and more—each have their place when you have to deliver criticism

By Arlene S. Hirsch, MA, LCPC

Apr 9, 2018

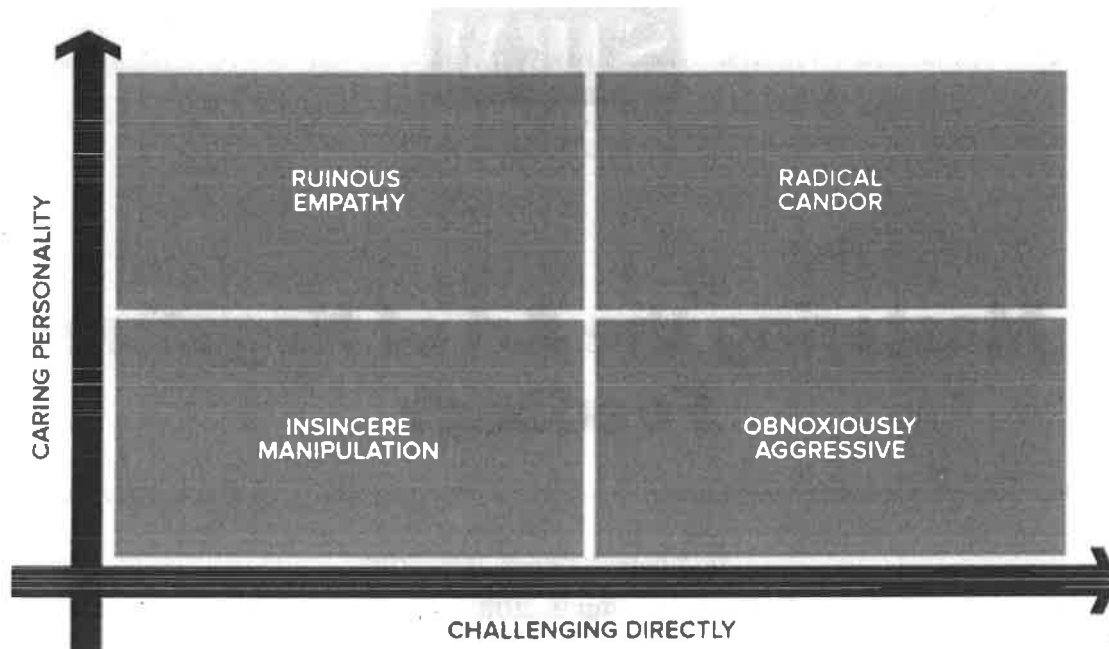
As director of people operations at Gem, a Los Angeles-based blockchain technology company, Madeline Mann regularly has walk-and-talks along the Venice Beach boardwalk with each of the firm's 20 local employees. During these informal chats, employees divulged that they often left company meetings feeling like they hadn't expressed themselves directly enough.

"Their feedback was couched because they were being sensitive to others' feelings," Mann said.

That motivated her, with buy-in from senior leadership, to begin developing a direct feedback culture at Gem, based on Kim Scott's radical candor framework.

"Radical candor is the ability to challenge directly and show you care personally at the same time," said Scott, an executive coach in Silicon Valley and author of *Radical Candor: Be a Kickass Boss Without Losing Your Humanity* (St. Martin's Press, 2017). "Radical candor just means saying what you think while also giving a damn about the person you're saying it to."

Here's an illustration to understand the framework: The vertical axis represents "caring personally," while the horizontal axis represents "challenging directly." This creates four quadrants: ruinous empathy (too much caring, not enough challenging), obnoxiously aggressive (not enough caring, too much challenging), insincere manipulation (not enough of either) and radical candor (the right blend of both.)



When Mann introduced the framework to Gem employees and asked them to rate themselves in the four quadrants, most people identified with "ruinous empathy."

"We had the caring down cold," Mann said. "But people had to be convinced that challenging someone directly is a form of caring."

This situation is not that unusual. Scott estimates that more than 75 percent of people she coaches fall into this category, including many HR professionals who typically pride themselves on being nice but who struggle to be more assertive and, if necessary, confrontational.

New Ways of Thinking About Feedback

In *The 2020 Workplace Report*, HR experts Jeanne Meister and Karie Willyerd identified a disconnect between the feedback direct reports valued and the feedback managers delivered. Direct reports ranked "receiving straight feedback" from their managers as a top priority, yet managers were ill-prepared to deliver. (When HR professionals ranked managerial capabilities along eight different dimensions, the ability to give "straight feedback" to direct reports ranked dead last.)

This may partly reflect an antiquated approach to, and understanding of, the role that feedback plays in employee performance and motivation. Although some companies still rely heavily on annual performance reviews as a primary evaluation tool, it is rarely popular with managers or direct reports, and as a stand-alone practice it is often ineffectual. People being evaluated can feel unfairly judged on things that happened months earlier and don't seem relevant. And simplistic rating systems overgeneralize performance, fail to place information in context and set up a defensive, adversarial dynamic.

If you really want to improve an employee's performance, feedback is usually more effective when it is delivered in real time, along with guidance and recommendations about how to improve performance.

Linda Richardson, a sales training coach and author of *Sales Coaching: Making the Great Leap from Sales Manager to Sales Coach* (McGraw-Hill Education, 2008), recommends integrating evaluative feedback (such as performance appraisals) with developmental feedback designed to improve performance. Developmental feedback is more forward-looking and relationship-oriented. It relies on coaching, guidance and mentoring rather than judging and criticizing.

"Developmental feedback looks forward to what we [the coach and the person being coached] can do to improve and create a better picture for the future," Richardson said. It is a continuous process that takes place in real time throughout the year.

"The time for developmental feedback is always, whether in a coaching session or in a corridor," Richardson said.

"Developmental feedback empowers because it helps people identify obstacles they face and reinforces their role in removing the obstacles each day."

Developmental feedback can also take the sting out of annual reviews, because regular feedback focused on improvement makes it less likely that there will be any big year-end surprises.

How to Have Tough Conversations

Over the course of her HR career, Eileen Habelow estimates that she spent 80 percent of her time coaching managers and leaders on how to have difficult conversations. As the president of Leadership-Link, a Boston-based consulting firm that works with small and midsize biomedical, pharmaceutical and health care companies, she frequently fields requests from clients who want to create better feedback systems. Because these companies deal with complex issues in a rapidly changing environment, it is important for employees to continuously improve their skills and expertise—and for mistakes to be recognized and corrected in real time so that they don't harden into bad habits or lead to erroneous conclusions.

"If your goal is to get the most out of people," Habelow said, "then you have to be willing to give direct, difficult feedback. It's not a bad thing. You're doing them a service."

Along with a coaching and guidance mindset, Habelow provided the following suggestions for those who want to get better at delivering direct feedback:

- Begin by clarifying your objectives. What do you want to accomplish in this conversation?
- Script out the beginning and the end of the conversation.
- Try to anticipate how the information will be received along with your own reaction to any response.
- Negative feedback should be specifically focused on recognizable behaviors that can be changed rather than on personality traits or vague generalizations.

"You have to be specific about behavior you have observed and the impact it is having on others, and provide some guidance moving forward," she said.

She related a particularly tough set of conversations that she had with a high-performing employee whose approach was perceived as overly direct and extremely demanding (or, in radical candor terms, obnoxiously aggressive).

"He accomplished much but always left damaged relationships behind and was getting a reputation for caring only about the

business and not the people that he worked with. His impact was going to erode if the habits continued," Habelow said.

Initially he was quite defensive. But she got through to him by offering him specific examples and observations of people with whom he now had strained relationships because of pushing too hard. Because he was very results-oriented, she focused on the impact of the strained relationships: People were slower to respond, only giving the bare minimum and not going above and beyond for him.

It was easier for him to accept her criticism when she made it clear that she understood where he was coming from and would not do anything to diminish his success. However, she challenged his approach and was able to persuade him to make small changes that resulted in more positive working relationships.

Mann, too, recommends beginning difficult conversations by showing empathy. She finds it helpful to look at employees' situations from their perspective, even if she disagrees with them. However, she cautions against "compliment sandwiches"—a criticism wedged between two compliments—because the praise is likely to come across as contrived and insincere.

It doesn't have to be delivered flawlessly, she said, but the person receiving the feedback must feel that the other person truly has their best interests at heart.

Learning to Receive Feedback

After a presentation about motivation bombed early in his career, Adam Grant began studying why negative criticism is so soul-crushing and whether it's possible to learn to like it. Grant, a management and psychology professor at the Wharton School and author of *Give and Take: Why Helping Others Drives Our Success* (Penguin Books, 2013), believes people dread negative feedback because of the way it's delivered.

If you don't trust the other person's intent, it's going to be hard to hear what they have to say, Grant said. To build up your tolerance for negative feedback, he recommends cultivating a "challenge network" of people who you trust to deliver honest feedback. Over time, that approach can help you get better at hearing criticism and learn to welcome it as an opportunity for self-improvement. To promote self-awareness, try rating your own response to negative feedback. Were you defensive? Did you get upset? Were you able to act on the information?

Gem employees are encouraged to approach direct feedback with an attitude of curiosity rather than defensiveness. What is this person trying to tell you? How can you use that feedback to improve your skills and performance?

"When people learn to see direct feedback as a gift, they start practicing it on each other," Mann said. During weekly company meetings, Gem employees share their experiences with radical candor and award a "candor canary" to the person who provides the best direct feedback that week.

Model Best Practices

As an HR practitioner you may be required to deliver negative feedback to people over whom you have no direct authority. You can earn their trust and respect by delivering bad news in a compassionate and objective way that is designed to help them benefit from your guidance and support.

To help build a direct feedback culture, you can coach and educate managers about the best way to deliver negative feedback. For example, every Gem employee learns about the radical candor framework through a series of facilitations that both introduce and reinforce the importance of delivering direct feedback in a caring way.

When you're on the receiving end, you can learn to approach negative feedback with an open mind and an eye toward self-improvement—and you can encourage others to do the same. This will make you a stronger, more-effective and resilient HR professional.

Arlene S. Hirsch is a career counselor and author based in Chicago.

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COUNTY OF SAN MATEO HUMAN RESOURCES DEPARTMENT

May 22, 2017

Proposal to Pilot Evidence Based Employee Performance and Development

RECOMMENDATION Pilot a new employee performance and development process with the Executive Leadership Academy (ELA) that will eliminate formal annual performance reviews and replace them with future focused frequent check-ins and pulse surveys to create a data rich, high performance culture focused on growth and development.

NEED Annual performance reviews are a costly and ineffective strategy for improving employee performance and fostering employee development. A conservative estimate for the annual cost of San Mateo County performance evaluations is \$2,675,360 (891,200 employee hours)--a figure that does not account for lost productivity and overhead costs. A variety of annual performance evaluation formats are used in San Mateo County, with the largest percentage, 52%, using a traditional one page evaluation.

Companies that have discontinued annual reviews include Adobe, Accenture, Dell, Deloitte, Disney, Eli Lilly, The Gap, GE, Goldman Sachs, IBM, Juniper Systems, KPMG, Lear, Medtronic, Microsoft, Morgan Stanley, Motorola, Netflix, OppenheimerFunds, PwC, Sears. It's estimated that by 2018, 75% of the US Fortune 1000 will have transitioned away from annual performance reviews. Government organizations including the FBI and NASA are rethinking their approach, and a few local governments, (including Riverside County, Pinellas County, Walnut Creek, and Johnson County) are also eliminating annual reviews.

Primary business drivers to make changes to performance approaches now are twofold:

1. The changing nature of work and the need to be agile, iterate solutions, and quickly evolve. Most work today does not conform to a 12 month period.
2. The return to a development focus and the growing importance of fostering talent and increasing employee skills.

Key Findings: Annual performance reviews are a source of dissatisfaction.

- 82% of companies report that performance evaluations are not worth the time.
- 95% of managers are dissatisfied with the way their companies conduct performance reviews.

- Performance reviews are the second most disliked work activity by managers after firing employees.
- 86% of employees report being unhappy with their performance management systems.

Annual performance reviews negatively impact performance and are demotivating.

- More than 33% of annual performance reviews have a **negative** impact on performance.
- Formal performance reviews can be highly demotivating to even the highest performers.
- Most people believe they are above average: a rating system that labels employees as average or in the middle of the ratings scale will be deeply demotivating to the majority of employees.

Annual performance reviews undermine the manager/supervisor-employee relationship.

- The act of evaluation causes the employee to feel judged and to withhold information that could be helpful to their development.

Annual performance reviews are flawed, bad data.

- Two thirds of employees who receive the highest performance review scores were not in fact their organization's highest performers.
- Individual performance ratings have zero correlation with actual business results.
- Decades of research show that people are inaccurate and unreliable raters of others-- issues include recency bias, idiosyncratic rater effect, how demographically alike the rater and ratee are.
- An annual review does not accurately predict future performance.
- 61% of a performance rating is a reflection of the rater, not the ratee.
- Raters do not agree in their evaluations of ratees and are likely to show correlations in the .50s, not much better than random.

PROPOSED PILOT A successful model to foster positive employee development and improved performance will consist of frequent coaching conversations, a future orientation, and be employee driven. A successful model will also reduce complexity, administrative systems, and bureaucratic processes.

Evidence Based Employee Performance and Development will be a rigorously structured pilot that tests the success and scalability of replacing formal annual reviews with future focused frequent check-ins and employee directed pulse surveys. The pilot sites will take place in up to 5 County Departments with a current ELA participant. The existing relationships built over the course of the ELA experience will be leveraged to support implementation and feedback on the pilot. Initiating the pilot in diverse departments and including represented staff will give us rapid information and testing conditions representative of the overall County. Variables will be tested in the departments to isolate best practices and the group will iterate improvements to

the pilot over the course of project. Project variables and key dates are detailed in **ATTACHMENT I**. Participants in the pilot will

- Ensure that managers/supervisors meet with their staff a minimum of every other week.
- Ask their staff to complete weekly pulse surveys of no more than 4 questions highly correlated to performance and engagement.

ISSUES AND RISKS

- Moving from compliance with a formal process to having high quality performance conversations is a culture change. Not all managers are comfortable acting as coaches and will need support in developing coaching skills
- Performance improvement processes will remain intact, which could include Performance Improvement Plans (PIP), pre-evaluation memos, special evaluations or other tools for underperforming employees. Guidance will need to be developed to ensure managers and supervisors are able to take employees off of the development track and onto the performance improvement track when appropriate.
- Meet and confers with unions will be required.
- Two departments are required to conduct annual performance evaluations and may not be able to fully realize the benefits of annual performance evaluation elimination.

BENEFITS AND OUTCOMES

- Future focused, strengths based frequent conversations between managers and employees will build relationships and translate into increased performance and development.
- Focusing on developing employees will increase our success in recruiting and retaining an excellent workforce, critically important in San Mateo County where our prospective employee pool can be limited by cost of living and housing issues.
- Pulse surveys will provide frequent information to managers to act on in real time and also allow for longitudinal analysis, allowing us to adjust the pilot approach to employees as data indicates.
- Participants will report increased levels of engagement.

A successful pilot will show that

- Manager/supervisor participants meet with their reports weekly/biweekly
- Employees' positive responses to measures correlated to high performance will increase
- At least 80% of employees will routinely complete the pulse surveys
- Managers/supervisors will report increasing confidence in their ability to coach and have focused conversations with their employees

COST/FUNDING The costs associated with this pilot (performance management fellow, pulse survey technology) have been budgeted in 2017-18. Tremendous potential cost savings related to increasing employee engagement and productivity are anticipated.

NEXT STEPS If this proposal is approved, staff will work with interested ELA Cohort departments to finalize pilot participation, determine size of department pilot, and select project variables for testing.

Performance Pilot One Year Impact

Baseline Survey Key Progress Indicators – County (excluding Library)

Baseline Response Rate



+1%
(91% to 92%)

Overall Baseline Average



+3.5%
(8.4 to 8.7)

Receive Recognition



+5%
(7.8 to 8.2)

Have Regular 1:1's



+4.7%
(8.5 to 8.9)

Have Goal Discussions



+2.5%
(8 to 8.2)

Understand Role Expectations



+3.4%
(8.7 to 9)

Understand Pilot



+3.8%
(8 to 8.3)



Performance Pilot One Year Impact

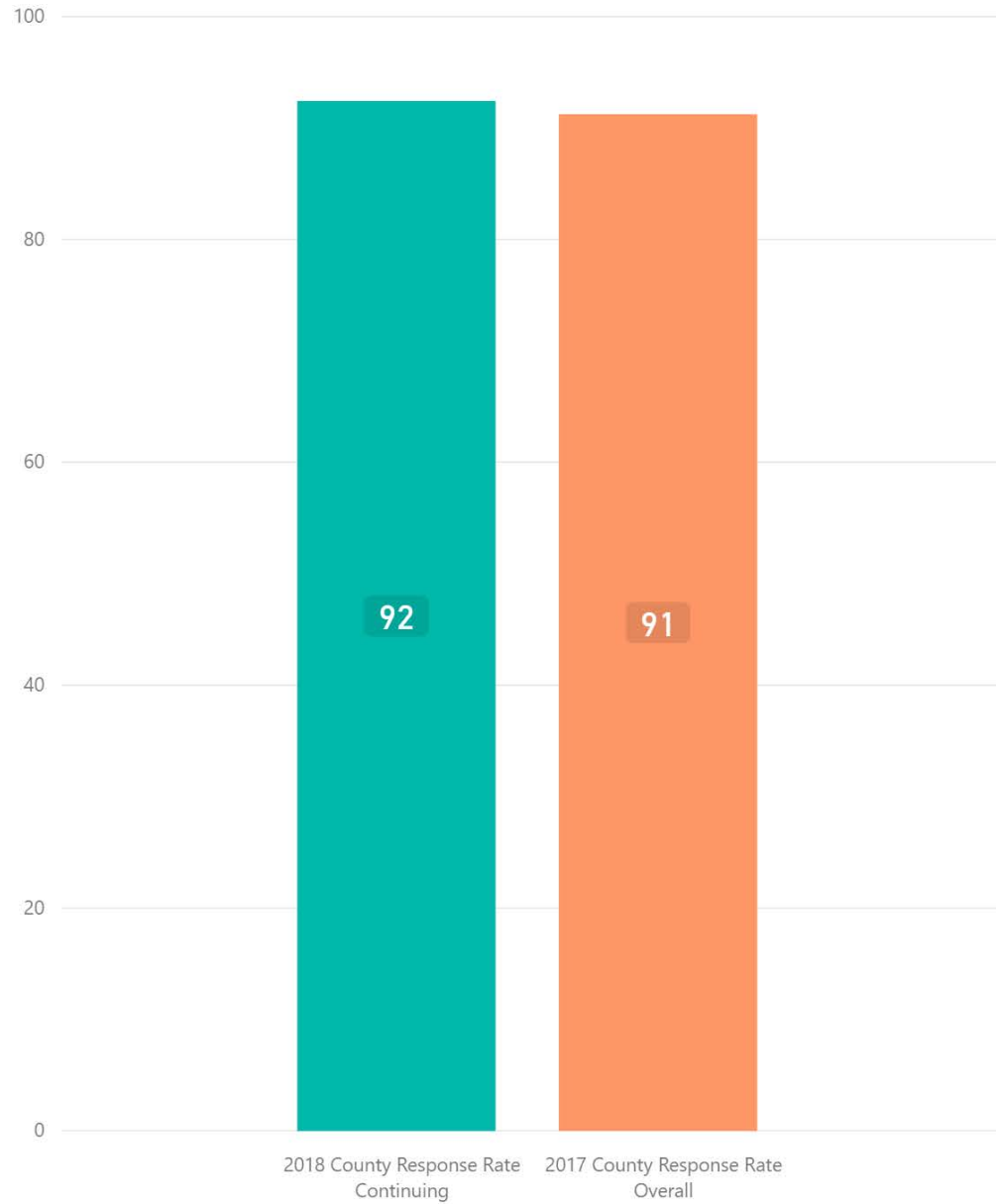
Survey Trends

Tenure in position has a mixed impact on Baseline Survey key indicators:

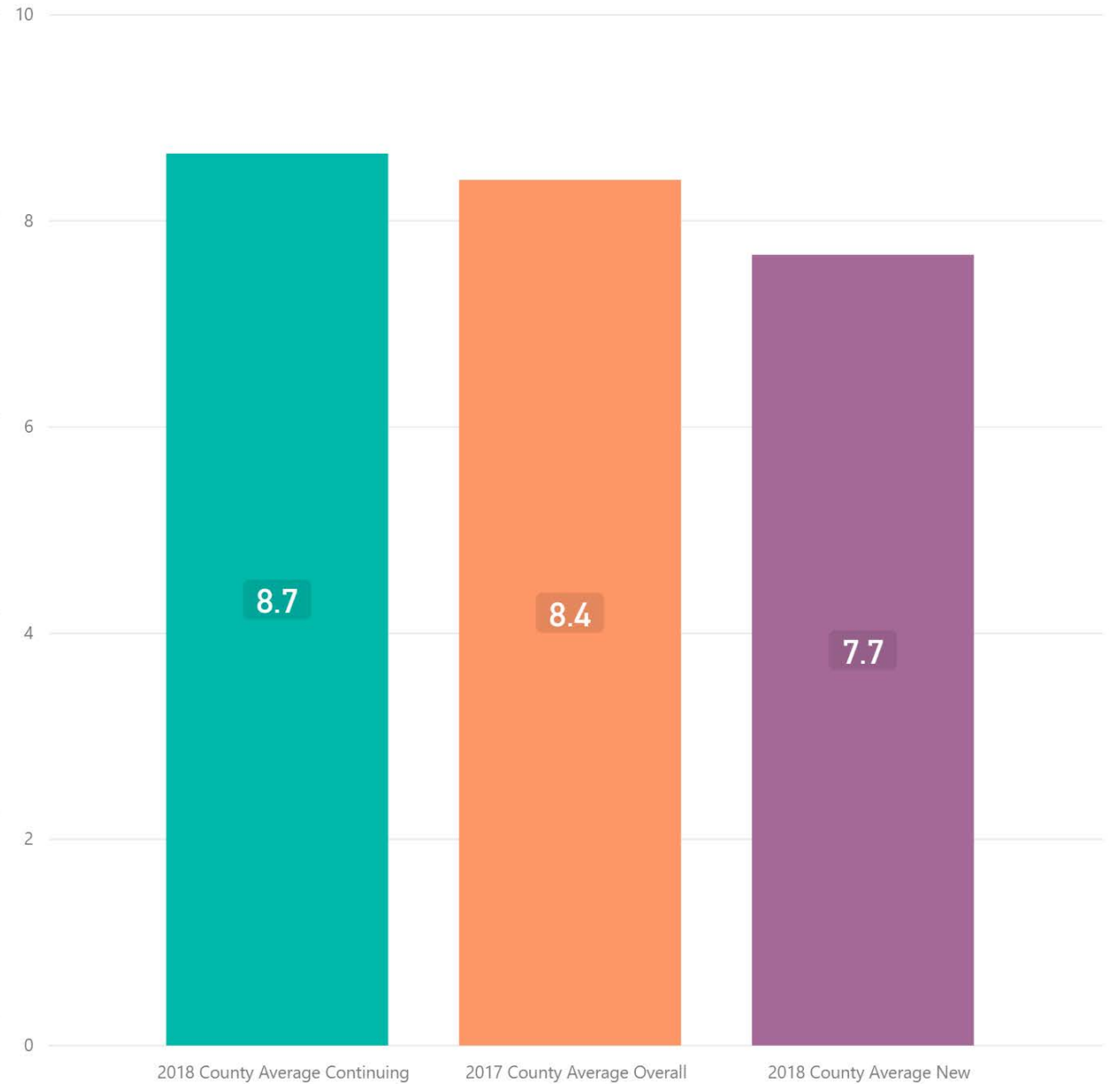
- Employees who have been in their position less than 6 months report receiving more recognition than those who have been there over a year, **+12%**, 8.6 v 7.7
- Employees who have been in their position less than 6 months report more regular 1:1 discussions than those who have been there over a year, **+8%**, 9.1 v 8.4
- Employees who have been in their position less than 6 months report less long-term goal discussions than those who have been there over a year, **-7%**, 7.2 v 7.7



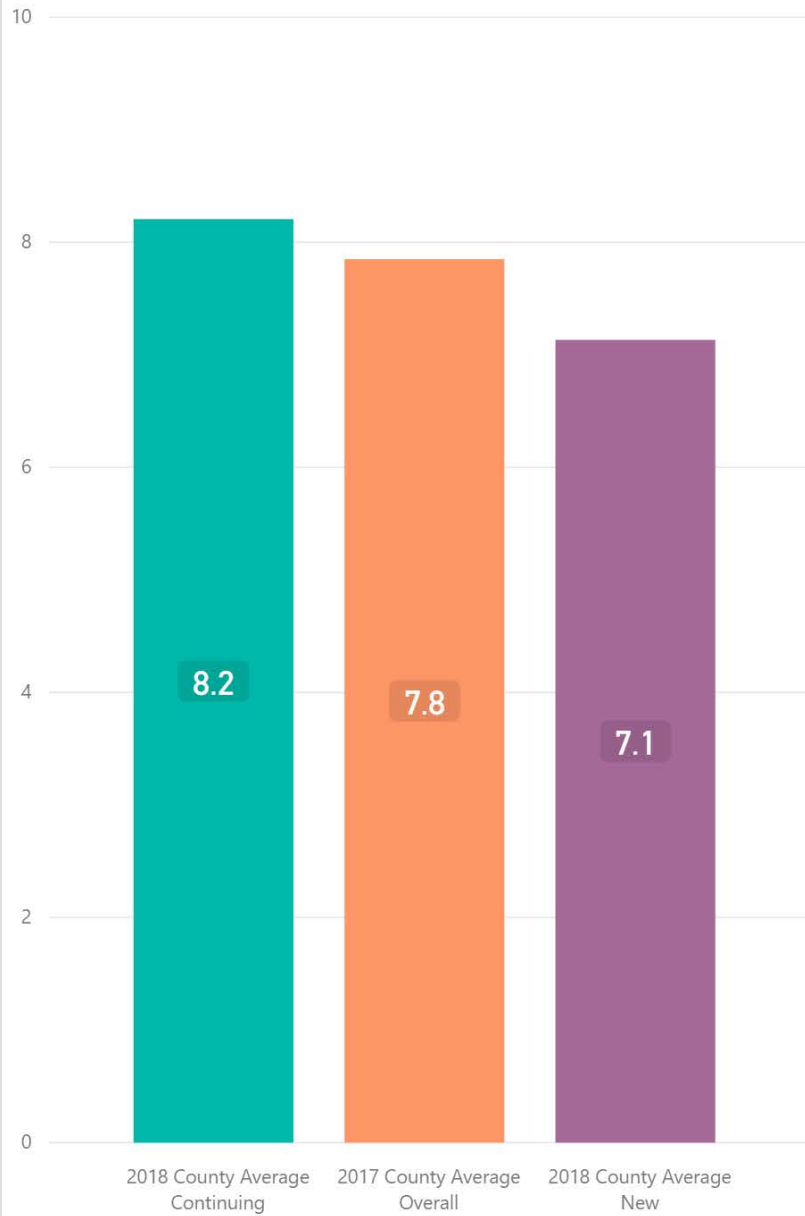
Baseline Response Rate



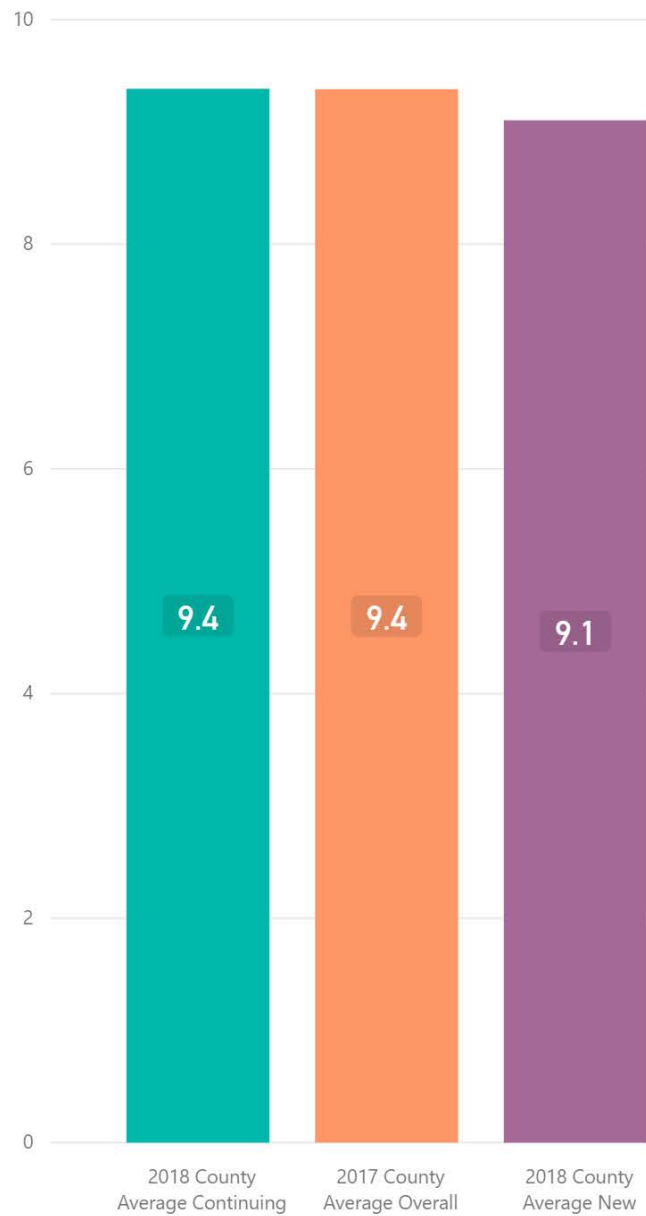
Overall Baseline Average Score



I receive recognition from my supervisor and/or peers when I do good work



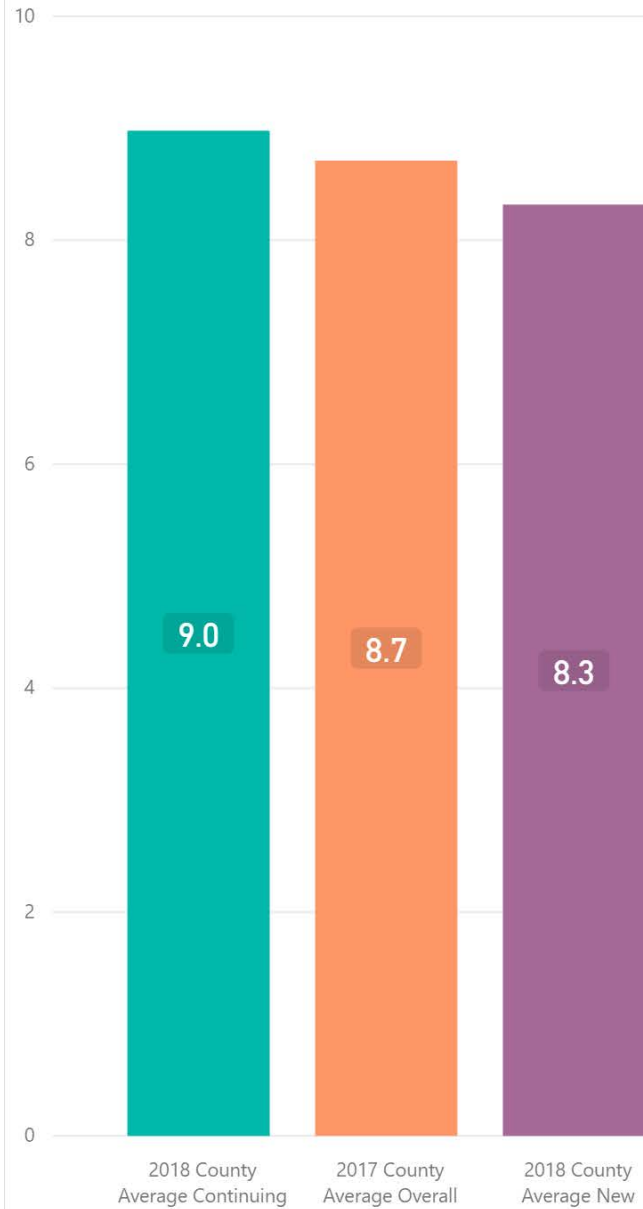
I understand how my work serves our community



I understand what is expected in the Performance Pilot



I understand what is expected of me at work



My supervisor has 1:1 check-ins with me at least every other week



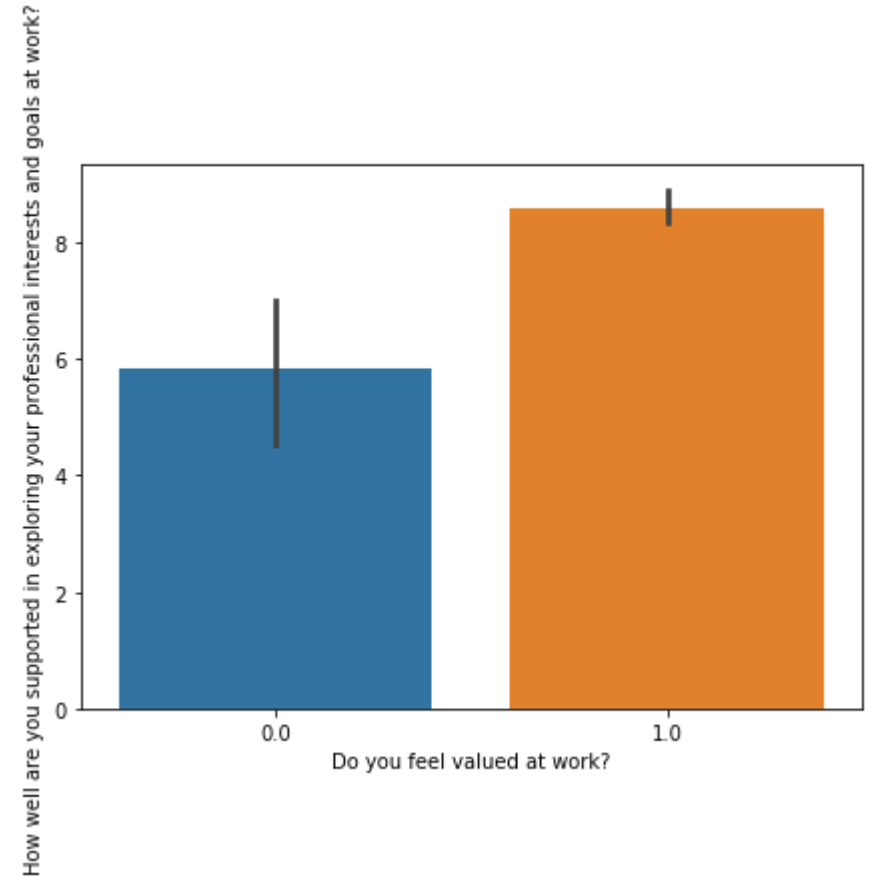
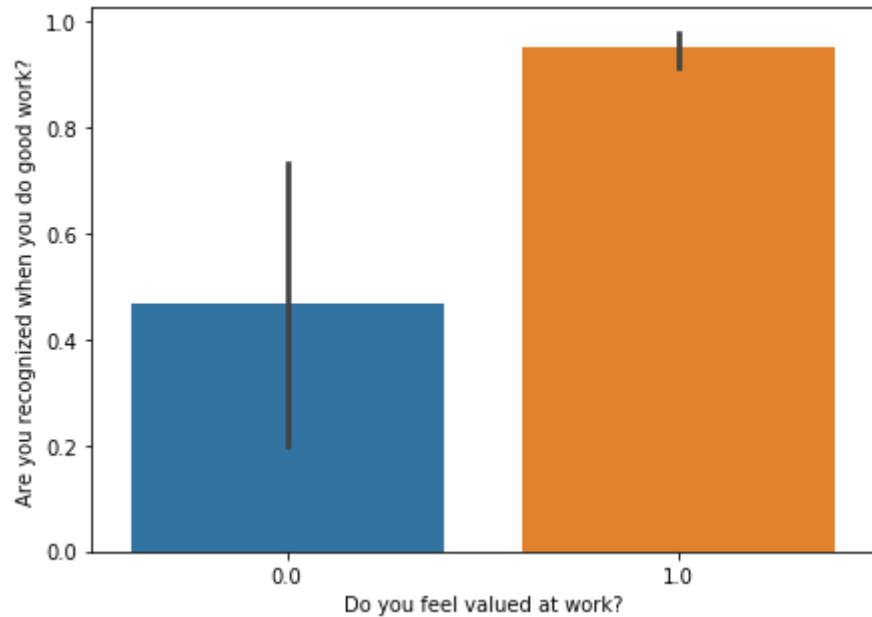
My supervisor has met with me in the last year to discuss my goals



Performance Pilot Results

Hypothesis Validation – Value and Recognition

Staff feel more valued at work if they receive recognition for doing a good job and are supported in exploring career goals



Performance Pilot Results

Hypothesis Validation – Conversations and Expectations

Staff are more clear on their responsibilities if they have regular 1:1 meetings and periodic goal progress discussions.

