

Performance Management and Management/Professional Performance Appraisal



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INTRODUCTION

Welcome to the performance management and Management/Professional Performance Appraisal (MPPA) training. The intent of this course is to provide an overview of the Management/Professional Performance Appraisal process. At the completion of this training, a post assessment will be required that will reinforce some of the main concepts learned by reading this material. Any questions about this course should be directed to the Employee Development Division at 305-375-2473.

Learning Elements

In this module, you will learn how different aspects of the County's business relate to your performance evaluation and the importance of evaluations to effective management. The Management/Professional Performance Appraisal is an integral part of the Results Oriented Government philosophy. Tying the department's goals and objectives to employees' specific goals and objectives are crucial for organizational success.

The learning objectives in this manual address the key concepts of the Management/Professional Performance Appraisal and its impact on the Results Oriented Government environment that Miami-Dade County government operates under. To summarize what will be covered in this course: a better understanding on how Results Oriented Government touches everyone in the organization with a more focused approach on performance management and the alignment to the Management/Professional Performance Appraisal process. The specific learning objectives of this course are listed below.

- ❖ The concept of the County's Results-Oriented government philosophy.
- ❖ The linkage between the vision and mission statements, guiding principles, strategic themes, the County's strategic plan, departments' business plans, and individual goals and objectives.
- ❖ The components of the business plan.
- ❖ The process flow for the Management/Professional Performance Appraisal instrument.
- ❖ How your performance will be measured using the Management/Professional Performance Appraisal instrument.
- ❖ The ownership and accountability assigned to employees in meeting their department's goals and objectives.
- ❖ The available resources which support the performance management and the MPPA process.

PERFORMANCE MANAGEMENT

A PERFORMANCE CONFERENCE IS SIMPLY A REVIEW OF AN EMPLOYEE'S PERFORMANCE. ***THERE SHOULD BE NO SURPRISES!***

The performance discussion which occurs in a performance conference should not come as a surprise to an employee. Ongoing dialogue between employee and supervisor should occur to ensure expectations are being met. It is highly recommended to have informal performance conferences during the year prior to the formal performance conference to eliminate any potential surprises. By investing some time with your employees to ensure that goals and objectives are being met, the likelihood of success will be greater.



30%

According to a survey conducted by the American Society of Training & Development (ASTD), there is a 30% difference of perception between an employee and supervisor on what specific duties are required to achieve desired job outcomes and perform in an outstanding manner. The supervisor's expectations are almost always higher than the employee.

40%

The survey also revealed there is a 40% difference of perception between what an employee thinks he/she deserves as a performance rating and what the supervisor thinks the employee's performance rating should be. Again, this difference of perception can be reduced with ongoing dialogue between the supervisor and employee about outlining expectations and the standard of performance required for the job to be done successfully by achieving the desired outcomes.

PERFORMANCE MANAGEMENT

In many cases, employees perceive their performance to be much higher than what their supervisors perceive it to be and this disconnect can create potential issues with job performance and work environment.

Outlining expectations and defining specific standards of performance will reduce such discrepancies and perceptions of an employee's performance. If you want to reduce discrepancies and improve employee morale, outline the performance expectations upfront.

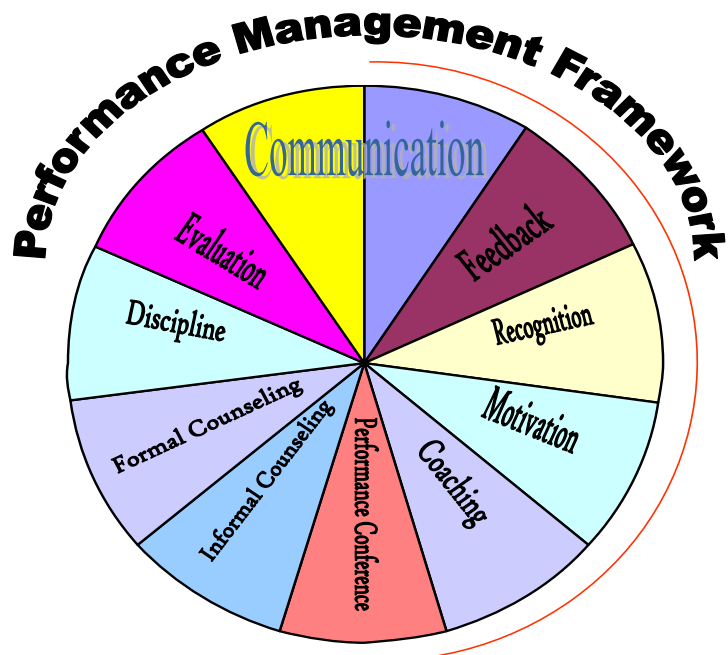
If an employee is surprised at his/her evaluation, because they were expecting a higher rating, there is a good chance that there was a breakdown in communication during the review period.

Why is there such a difference of perception in reference to the level of job expectations, desired outcomes, and overall rating of performance measures? The answer to this question is quite simple. More than likely, there has been a breakdown in the overall performance management framework.

Performance Management Framework

Performance Management is an important function of any performance evaluation system.

The chart identifies the core components of an effective performance appraisal system. It is important to mention that the most effective way to manage and have employees be productive, is to use a proactive approach by focusing on the right side of the chart (highlighted by the red arch) which begins with Communication and progressing into Feedback, Recognition, Motivation, Coaching, and Performance Conference.



PERFORMANCE MANAGEMENT

Communication

Communication is critically important to the performance management framework. If performance management does not begin with clear dialogue and outlined expectations of desired outcomes and clearly defined performance objectives, then the possibilities of employees producing at a high level have been reduced tremendously. Just think for a moment...if an employee is not given clear directions on how to get to a location, then how effectively will he/she get there?

Feedback

Feedback is crucial to the performance management framework. It is important that the supervisor creates and maintains an environment that supports and encourages open and direct dialogue pertaining to employees work environment and specifically about job performance and achieving desired outcomes.

Recognition

Recognition is crucial for a job well done by an employee. Recognizing employees will increase productivity.

Motivation

Motivation of employees will also increase productivity. By providing challenging assignments and learning new tasks, employees will broaden their skill sets. This, in turn, will increase the employee's career goals and objectives.

Some possible avenues of motivating employees are:

- ❖ Employee of the Year award
- ❖ Employee of the Month award
- ❖ Free parking for a specified time
- ❖ Making available employee development opportunities, such as; training, conferences, etc.

Coaching

Coaching is a very important responsibility that a supervisor has for his/her employees. Helping employees to succeed benefits all involved and in meeting the organization's goals and objectives.

PERFORMANCE MANAGEMENT

Performance Conference

The Performance Conference is a good opportunity for employee and supervisor to meet and discuss the employee's performance. It also addresses and recognizes the employee's strengths and any possible areas of improvement. Past achievements must be discussed during the performance conference and specific direction must be given to the employee by the supervisor on achieving future outcomes.

The other half of the chart focuses on the progressive disciplinary components. It is very important to mention again that supervisors and managers should focus on developing employees by focusing on the right side of the chart. If a supervisor or manager feels that he/she has done everything necessary to develop an employee and his/her performance is not at an acceptable level as required by the job, then he/she can proceed to the informal counseling section of the chart.

Informal Counseling

Informal Counseling is needed when an employee commits a minor infraction of the department's rules and regulations and the supervisor needs to ensure that the employee corrects his/her behavior in the future to avoid repeating that minor infraction from occurring again.

Formal Counseling

The Formal Counseling session is needed when a series of minor infractions continue to occur or a somewhat serious infraction occurs and needs to be documented. The Record of Counseling (ROC) form is used and a copy is given to the employee as well as the supervisor and a third copy is sent to the employee's personnel file.

Discipline

The Discipline session is the most serious meeting concerning the violation of a very serious infraction of departmental rules and regulations. A Disciplinary Action Report (DAR) is completed and some kind of repercussions can occur such as a reprimand, suspension, demotion, or termination. The DAR is given to the employee, the supervisor, and a copy is sent to the employee's personnel file.

PERFORMANCE MANAGEMENT

Evaluation

The last slice of the pie is the Evaluation. The Evaluation ensures that the employee is aware of his/her past performance and is moving forward with his/her new goals and objectives as defined.

Employee Motivation

How important is employee motivation to a performance evaluation system?

Most people think that money is the number one motivator. It is not. Surprisingly, the survey below indicates that money or in this case, Financial Reward, is at the bottom in its importance to an employee. This may not be the case all the time, however, Financial Reward is usually superseded by other important criteria that are more valued by the employee.

As shown below, 81% of the survey respondents of a recent survey noted that having a good working reputation is what motivated them the most in their working environment.

Respondents said that being valued as an employee, recognized for top performance and work contribution was what motivated them the most.

❖ Good working Reputation	81%
❖ Importance of Work	76%
❖ Appreciation of Others	66%
❖ Interesting work	51%
❖ Personal Desire	20%
❖ Financial Reward	15%

Source: ASTD, 2006

The study went on to show that when an organization uses money as the main means of recognizing employees, it can have a negative effect on performance when the organization chooses to no longer use money as recognition. Employees can quit producing and simply reduce their commitment to the organization.

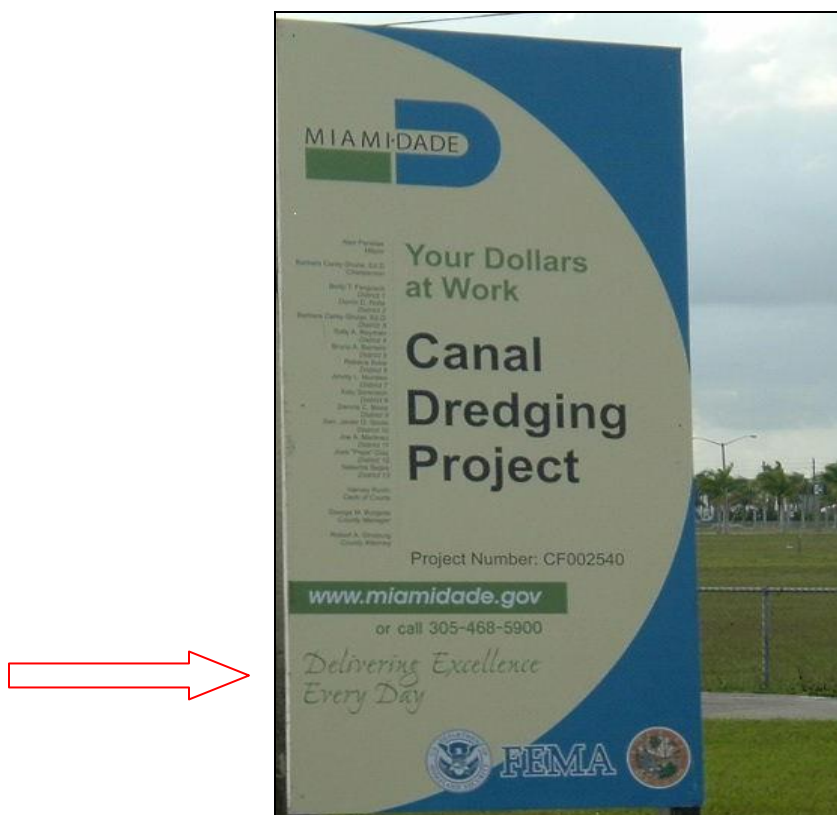
RESULTS ORIENTED GOVERNMENT

Value Statements

The County's vision and mission statements represent who we are and what we do. This is our focus and this is the foundation of our Results Oriented Government philosophy.

Vision Statement – *“Delivering Excellence Every Day”* - Some would argue that government, or any organization, doesn't deliver excellence every day and they may be right. But a vision is where we want to be, what we are working toward achieving. The Vision Statement serves as a beacon to employees in this organization. In four simple words, it describes what we strive for every day.

Mission Statement – *“Delivering excellent public services that address our community's needs and enhance our quality of life”* - Our Mission Statement serves to identify the overall purpose of the organization, helps to identify customer and stakeholder needs, expectations, and requirements which then leads to the development of performance measures.



RESULTS ORIENTED GOVERNMENT

This picture of a Miami-Dade County sign promoting a capital improvement project shows the County's vision statement of "Delivering Excellence Every Day." This vision is not only institutionalized throughout the County but we want our customers and our fellow residents, to know that we are here to serve them. Our website, www.miamidade.gov, is also listed on this sign to direct our residents to learn more about the programs and services provided by their government.

No matter what your classification, your job responsibilities, or your work location, you and all your fellow County co-workers will be evaluated on our ability to meet the vision statement. "Delivering Excellence Every Day."

Miami-Dade County's Strategic Plan

The Strategic Plan provides a roadmap for the next five years as we allocate resources, improve overall performance, and ensure that we are delivering results. The plan's updates will be coordinated by the County Executive Office (CEO) and supported by the Office of Strategic Business Management (OSBM).

As we refresh the Strategic Plan every five years, lessons learned and recommendations received will be incorporated. One key objective is to develop clearer and more succinct goals and outcomes while reducing the number of "layers" in our plan.

The result will be a more streamlined and straightforward document that will simplify department business plans and better support the budget process that allocates resources. The new plan will have relevant Key Performance Indicators (KPIs) to help gauge the achievement of results that matter.

Strategic Areas

The Strategic Plan is divided into seven service delivery areas, all of which support the overall County mission statement of: *"Delivering excellent public services that address our community's needs and enhance our quality of life."*

RESULTS ORIENTED GOVERNMENT

Our mission statement summarizes all of the desired outcomes in the strategic plan:

- ***Delivering*** – we must get results that matter.
- ***excellent public services*** – performance excellence – average is not enough – customer focused.
- ***that address our community's needs*** – we are here to help and assist – to individuals, communities in the county, towns, and cities, etc. – we need to make sure no one is left behind.
- ***and enhance our quality of life*** – recreation and cultural programs - our physical environment (natural environment, urban form) – basic skills and jobs for everyone.

From a macro perspective, the countywide priorities outline what the County has to do to provide services that address our community needs are.

The seven Service Delivery Areas:

- 1) Economic Development,
- 2) Health and Human Services,
- 3) Neighborhood & Unincorporated Area Municipal Services,
- 4) Public Safety,
- 5) Recreation and Culture,
- 6) Transportation, and
- 7) General Government Services.

The seven Service Delivery Areas are comprised of County departments that best fit their area of expertise as it pertains to the mission. For example, Miami-Dade Transit Department would fall under the Transportation Service Delivery Area.

Look for your department and find out what service delivery area you belong in. Print a copy of your department's business plan and read it. The next page shows a pictorial illustration of the Strategic Plan Summary.



MIAMI-DADE COUNTY STRATEGIC PLAN SUMMARY

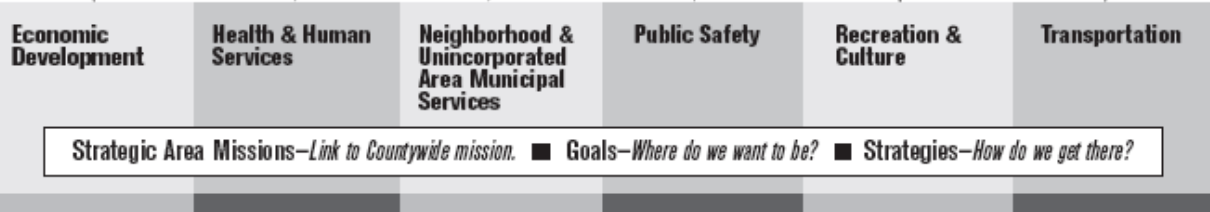
MISSION

Delivering excellent public services that address our community's needs and enhance our quality of life

COUNTYWIDE PRIORITIES

Fiscally responsible and stable ■ Quality of life for all ■ Safety and quality of neighborhoods
Technology, innovation, access and information ■ Planning for land use, transportation and growth
A healthy economy ■ Transportation ■ Environment ■ Cooperation and coordination

Service Delivery Areas



Priorities by Areas

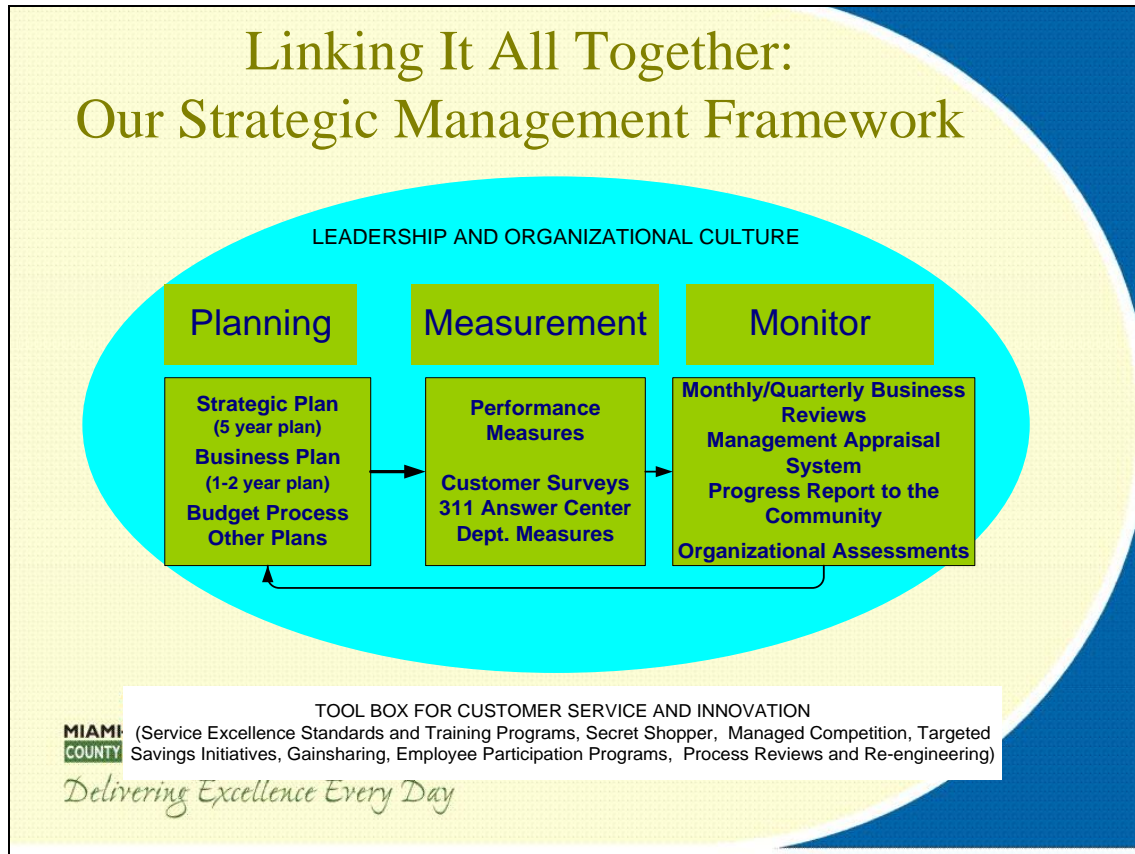
Supporting Priorities

Defined performance standards ■ Accessible public information ■ Streamlined, responsive procurement
"Best-Value" goods & services ■ User friendly e-government ■ Processes improved through technology
Motivated, dedicated workforce team aligned with organizational priorities ■ Workforce skills
Safe, convenient & accessible facilities to meet needs ■ Safe and reliable vehicles to meet needs
Sound asset management & financial investments ■ Resources to meet current & future needs
Cohesive, standardized financial systems & processes ■ Alignment of services with community's needs & desires
Achievement of performance targets ■ Accountability to the public ■ Continuous improvement
Opportunities for every registered voter to conveniently vote

STRATEGIC MANAGEMENT

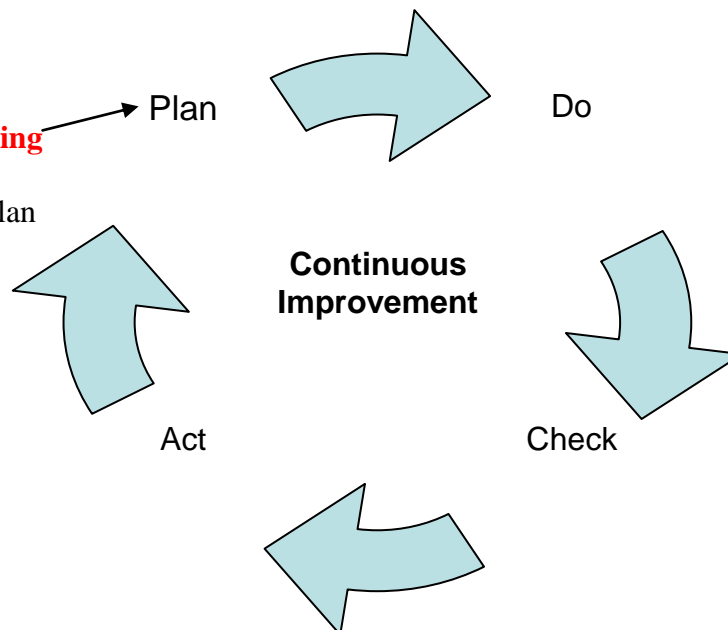
Strategic Management Framework

The County's strategic management framework focuses on planning, measuring results and progress, and monitoring.



**Another way in linking
it all together.**

It all begins with a Plan



STRATEGIC MANAGEMENT

Results-oriented government links together many of the initiatives already underway such as:

- Planning
 - i. This include the formal planning documents
 1. The Strategic Plan (5-year plan)
 2. The Department Business Plan (1-2 year plan)
 3. Budget Process and Other Plans
- Measurement
 - i. This include key measurement tools
 1. Performance Measures
 2. Customer Surveys (internal and external)
 3. 311 Answer Center
 4. Individual Departmental Measures
- Monitor
 - i. This include ways to follow up on progress
 1. Monthly/Quarterly Business Reviews
 2. Employee/Management Appraisal System
 3. Progress Report to the Community
 4. Organizational Assessments

This strategic management framework provides the necessary linkage to ensure success in a results oriented government environment.

The same priorities in your strategic plan drive your department's business plan and budget. They are also what we measure, what we report on in our quarterly reports, and what we get evaluated on. As you read through this material in later pages, you will clearly be able to see and understand how your performance measures and objectives are aligned to your department's business plan and the goals of our strategic plan.

Automated Performance Management

Performance Management is being used in all three areas of the strategic management framework. The planning, measurement, and monitor components provide an environment

STRATEGIC MANAGEMENT

where performance management is automated throughout the whole process of a results oriented government.

Automated Performance Management provides the following:

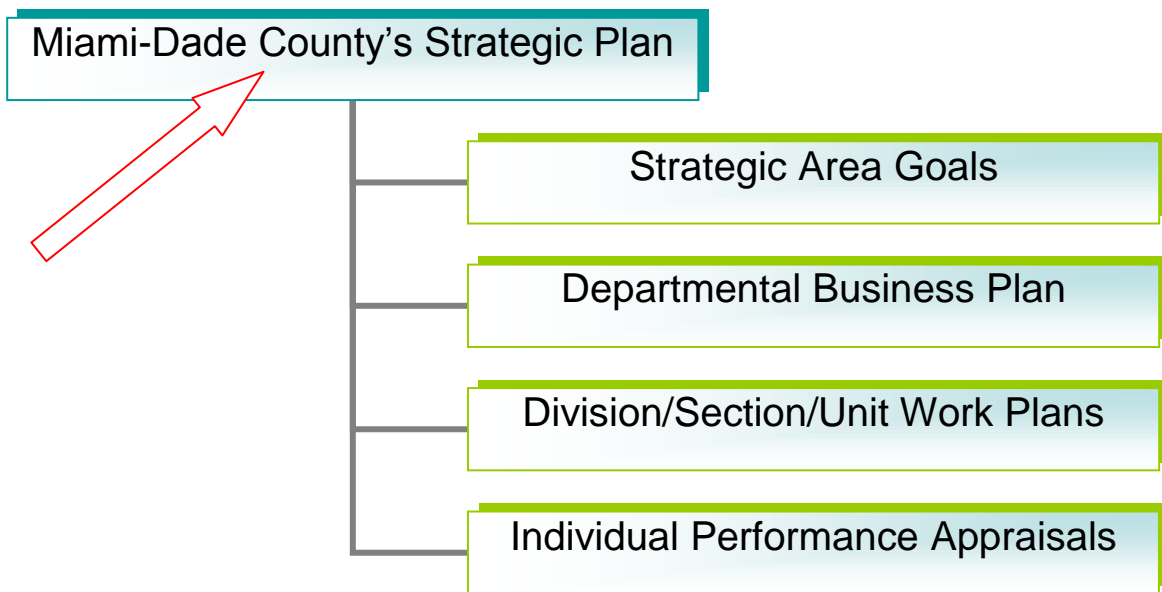
- linking key elements of strategic management into a single tool
- providing information on progress towards strategic plan and business plan objectives
- providing management with a snapshot of a department's health
- providing information on progress towards individual performance objectives

The Tool Box for Customer Service and Innovation

The Tool Box for Customer Service and Innovation include many programs that help in achieving our vision statement of "Delivering Excellence Every Day." Some of these programs include:

- Service Excellence Training
- Secret Shopper
- Managed Competition
- Gainsharing
- Process Reviews
- Reengineering

MIAMI-DADE COUNTY'S PLANNING HIERARCHY



In the next several pages, Miami-Dade County's planning hierarchy will be covered. The first one being Miami-Dade County's Strategic Plan. Miami-Dade County's planning hierarchy is shown from a macro to micro perspective.

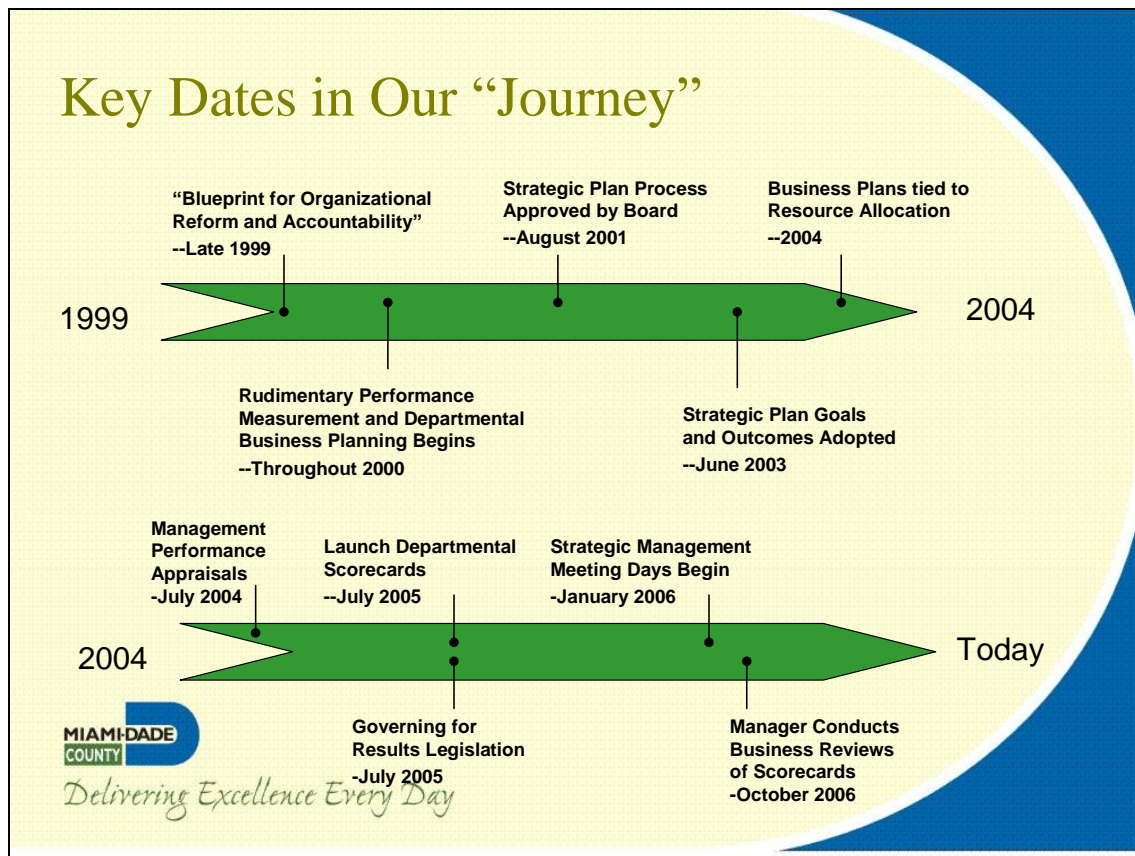
The **County's Strategic Plan** is a 5-year plan that is developed from external and internal input. Feedback from County residents and County executives helps drive the development of the County's strategic plan.

The **Strategic Area Goals** tie into the Strategic Plan by the 7 Service Delivery Areas. The Strategic Area Goals are aligned with each Service Delivery Area.

The **Department Business Plans** are department-specific and are 1-2 years in length.

The **Division/Section/Unit Work Plans** and **Individual Performance Appraisals** break down the department's goals into specific tasks and activities that are assigned to specific individuals to ensure accountability and focus.

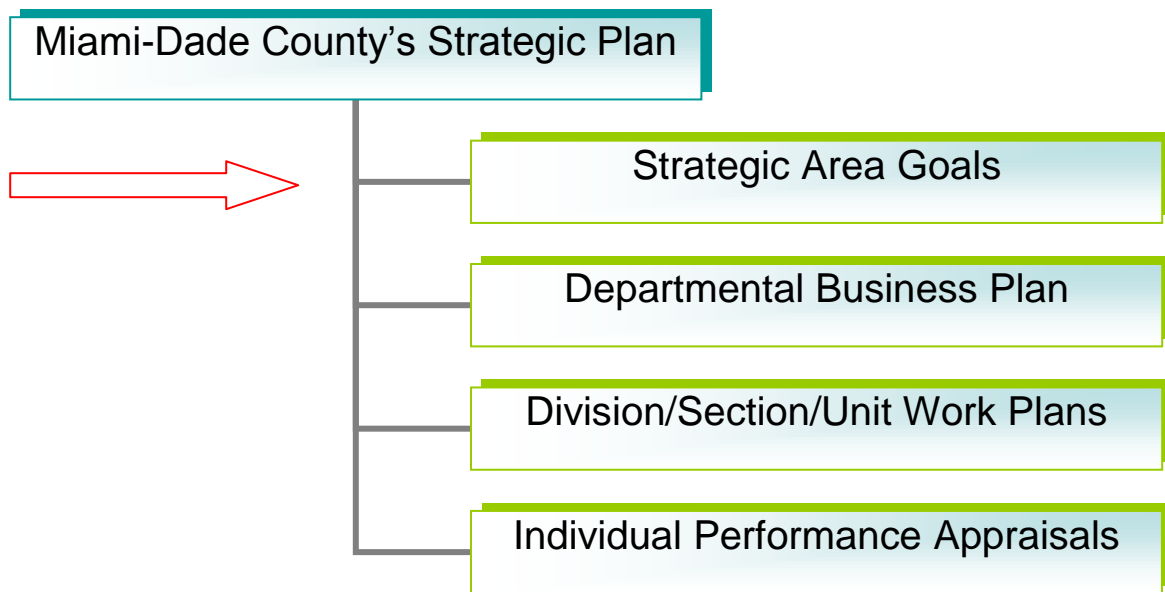
MIAMI-DADE COUNTY'S PLANNING HIERARCHY



This page outlines a historical timeline of how the County's Results Oriented Government philosophy began to where it is today. Since 1999, Miami-Dade County has had a focus on results and accountability to us and to Miami-Dade County's residents. From the County Executive Office to the Board of County Commissioners, the need for reform and results that matter provided the impetus to create a Results Oriented Government.

As you can see, this is not an overnight process; it takes time and deliberation to ensure that changing an organizational culture that is more accountable and responsive to its customers requires top management support and buy-in from the whole organization. Thanks to the efforts of our leaders, we have been very successful and a model for other public sector entities to emulate in being a results oriented organization.

MIAMI-DADE COUNTY'S PLANNING HIERARCHY

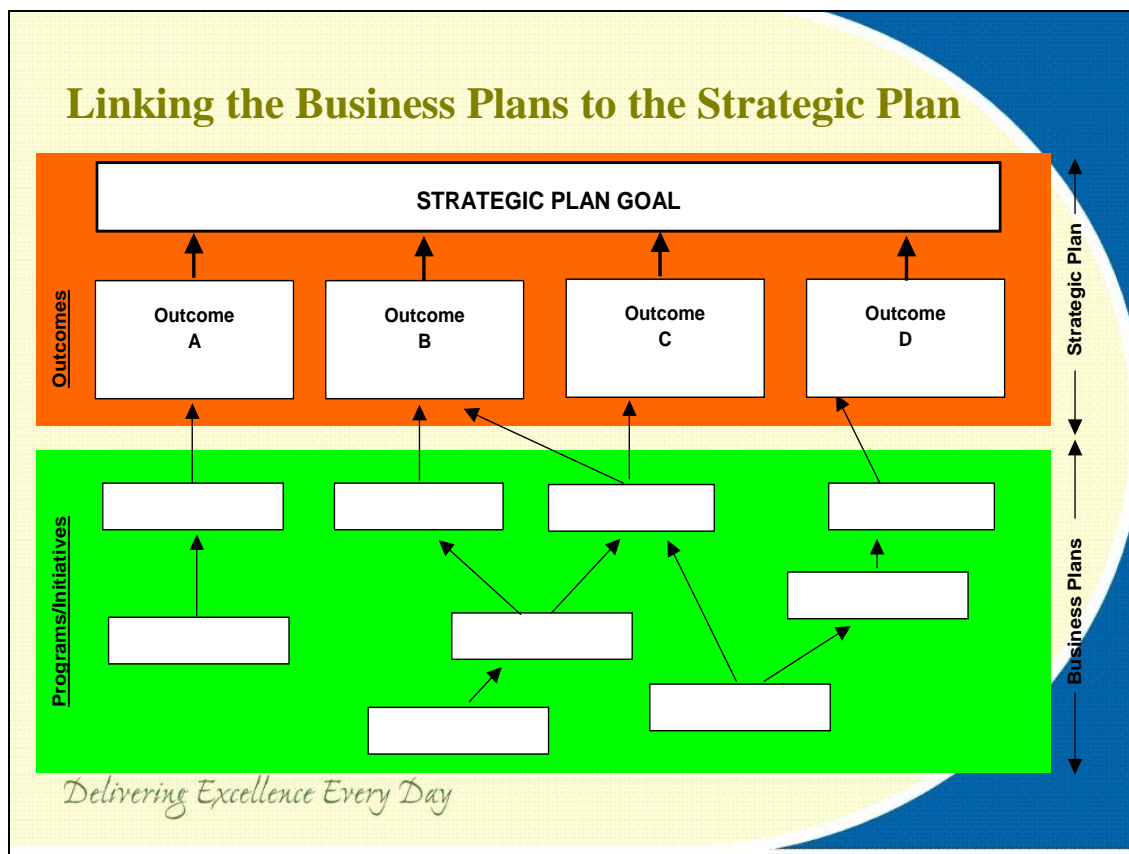


The second step in this process is the Strategic Area Goals. The **Strategic Area Goals** tie into the Strategic Plan by the 7 Service Delivery Areas. The Strategic Area Goals are aligned with each Service Delivery Area.

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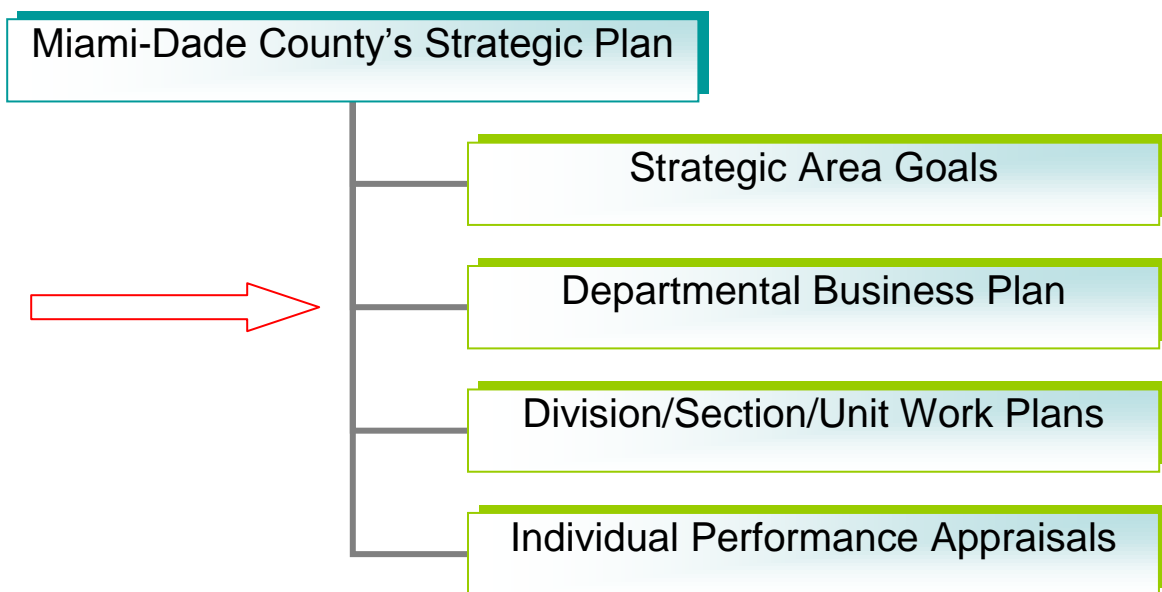
MIAMI-DADE COUNTY'S PLANNING HIERARCHY



What do we mean by linking Individual Department's Business Plans to the County's Strategic Plan?

First of all, it is important to note that as one County entity, we are made up of over 50 different departments. However, we share the same values of the organization and additionally, we may share the same priority outcomes. As the County tries to meet our customers' needs, we as an organization must work collaboratively to meet common goals and objectives. This page highlights this cross-sharing of programs/initiatives from a graphical perspective. We do not work in silos but as a cohesive team all focusing on our common vision and mission statements.

MIAMI-DADE COUNTY'S PLANNING HIERARCHY



The third step in the planning process is the department business plan. The **Department Business Plans** are department-specific and are 1-2 years in length.

The **Division/Section/Unit Work Plans** and **Individual Performance Appraisals** break down the department's goals into specific tasks and activities that are assigned to specific individuals to ensure accountability and focus.

What are Business Plans?

Business Plans are the roadmaps that guide an organization to success. This roadmap will help the department meet its objectives as outlined in the Strategic Plan.

The business plan will drive the budget, not the other way around. For example, if there is a critical community need, resources will be allocated to address that need.

Within the business plan, goals are developed and defined as being specific, measurable, achievable, results oriented, and time bound. These goals will be what we are measured by. In terms of how successful we are as measured by performance indicators, will be determined on how well we accomplished these goals.

MIAMI-DADE COUNTY'S PLANNING HIERARCHY

Who has a role in the business planning process?

We all have a role to play in the business planning process.

Assistant County Managers/Assistants to County Manager – They need to ensure all outcomes in the Strategic Plan are addressed and coordinate multi-department strategies.

Office of Strategic Business Management – They need to ensure plans conform to standard format, ensure plans reflect approved budgets, and provide support and answer questions.

Departments – Departments prepare the plans and review policy issues directly with their Assistant County Manager or County Manager.

The Business Plan comprises key areas of what a department does and why it exists. The two major components are the General Narrative and the Performance Objectives/Measures.

General Narrative

- Department Purpose/Mission, Description
 - Answers the questions, why do we exist and what are we all about? The department's mission statement, its reason for existence, and a complete description of the organizational make-up are defined in this subsection of the general narrative.
- Organization and Staffing Levels
 - Answers the questions, how are we managed and by how many people? The Table of Organization (TO) showing the department's reporting structure and a breakdown of the total staffing levels by divisions.
- Fiscal & Business Environment
 - Answers the questions, how are we doing financially and how are we doing in the current business environment? The department's budget shows all revenues and expenses as well as the current economic and competitive environment. The current business environment impacts a business's operations positively or negatively. How a department adjusts to the ever-changing business environment will determine its level of success in meeting its goals and objectives.

MIAMI-DADE COUNTY'S PLANNING HIERARCHY

Performance Objectives/Measures

- Scorecards in ActiveStrategy Enterprise (ASE)
 - ASE is a software tool that is used for quarterly business reporting. Departments usually meet on an ongoing basis to ensure that they are on task with their goals and objectives. A quarterly meeting with the department director and their assigned Assistant County Manager or the County Manager is held to discuss the department's progress in meeting their business goals and objectives.
- Linkage to Strategic Plan
 - Each department business plan must have a clear linkage to the County's Strategic Plan that is specific, measurable, achievable, results oriented, and time bound.
- Departmental Initiatives
 - Departmental initiatives must also have a clear linkage into the department's business plan.

PUTTING IT ALL TOGETHER...

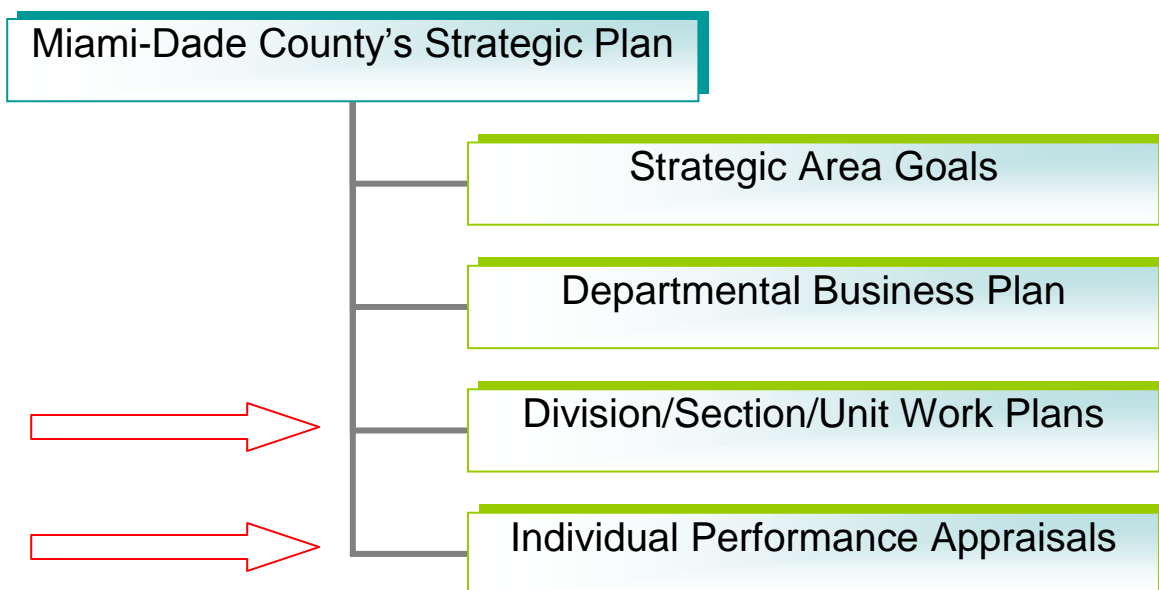
Linking the Management/Professional Performance Appraisal to the Business Plan.



Think of your own goals and objectives and how they tie into your department's business plan. They should! Your goals and objectives should tie into your supervisor's goals and objectives, Your supervisor's goals and objectives should tie into his/her supervisor's goals and objectives and so on all the way to your department director to the department's business plan. There should be a direct correlation of what you contribute to your department to the overall department's goals and objectives. Desired outcomes and objectives should be aligned throughout the department.

If an individual's performance objectives are not aligned to the department's goals, the likelihood of meeting the overall department's goals will be threatened. Without linkage, there is no success!

MIAMI-DADE COUNTY'S PLANNING HIERARCHY

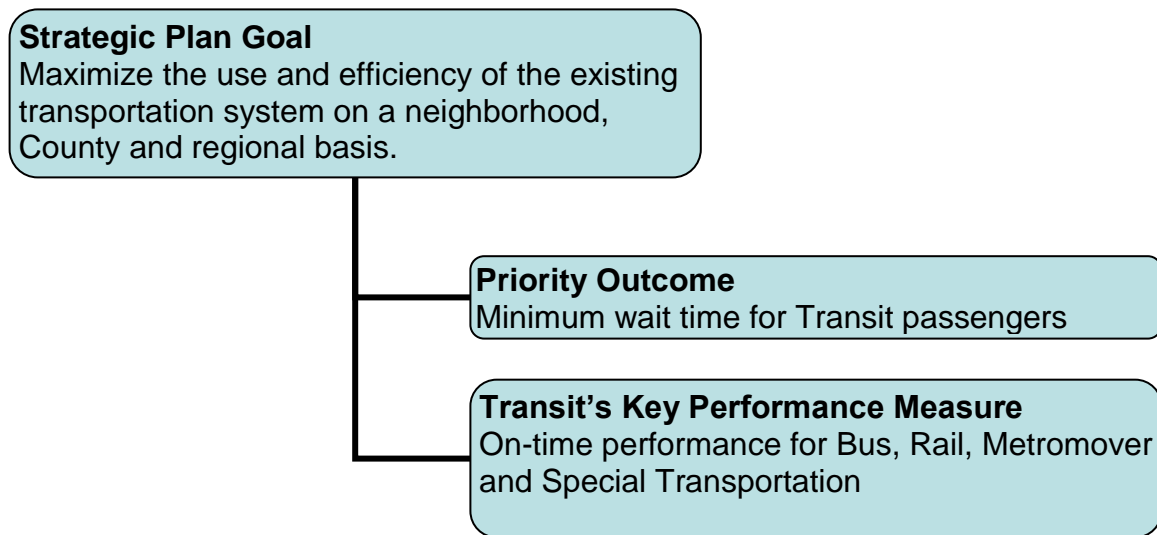


The final two steps in this process are the division/section/unit work plans and the individual performance appraisals.

The **Division/Section/Unit Work Plans** and **Individual Performance Appraisals** break down the department's goals into specific tasks and activities that are assigned to specific individuals to ensure accountability and focus.

"It is much more difficult to measure non-performance than performance."
- Harold S. Geneen, former CEO of ITT

STRATEGIC ALIGNMENT



Strategic Alignment

What is Strategic Alignment? Let's look at the example above that focuses on Miami-Dade Transit. Looking at the County's priorities, we wanted to make sure that Transit was focusing on its role in meeting countywide goals.

This is a high-level diagram of how Transit's on-time performance metrics would align and support the County's strategic plan.

As illustrated above, the Strategic Plan Goal is under the Strategic Service Area of Transportation. Miami-Dade Transit is a department that falls under the Strategic Service Area of Transportation. The Priority Outcome listed above is specific to Miami-Dade Transit. It is a key departmental measure that ties into Transit's mission statement of providing reliable transportation. Breaking it down further, a key performance measure for transit is on-time performance. As you can see from a hierarchical perspective (macro to micro), it is all tied together and flows from the County's Strategic Plan to the Individuals' Performance Objectives. To make this a reality of on-time performance depends on individuals. Individuals can easily be measured for their performance in either meeting or not meeting their goals and objectives with this methodology.

STRATEGIC ALIGNMENT

On-Time Performance for Buses

SCORECARD DETAIL-Miami-Dade Transit Department FY09

Details - Base View

None Initiatives Processes

Revised to align with objectives, programs/initiatives and measures as shown in November 2008 Department Business Plan for FYs 2009 & 2010. Department Vision (January, 2008) is "The #1 Transportation Choice in Miami-Dade County." Department Mission is "To meet the needs of the public for the highest-quality transit service: Safe, Reliable, Efficient and Courteous."

Default

1.0 Customer

Name	As of Date	Actual	Business Plan Goal	FYTD Actual	FYTD Goal
1.1 <u>Increase Customer Satisfaction with Transit Service, FY09</u>					
<u>Total number of complaints for Bus, Rail & Mover</u>	Dec 2008	656	n/a	657	n/a
<u>All Complaints per 100K boardings for Bus, Rail, Mover</u>	Sep 2008	6.79	n/a	6.60	n/a
<u>CEV - Secret Shopper Score (MDT)</u>	Cal08	▲ 76	75	n/a	n/a
<u>Secret Shopper Phase 1 (MDT)</u>	Cal07	■ 67	75	n/a	n/a
<u>Secret Shopper Phase 2 (MDT)</u>	Cal08	▲ 78	75	n/a	n/a
1.2 <u>Maximize reliability of transit system vehicles and infrastructure</u>					
<u>Ontime Performance/Schedule Adherence - Weekday-Bus (Overall System)</u>	Dec 2008	▲ 78.29 %	75.00 %	▲ 77.18 %	75.00 %
<u>On-time Performance (Metrorail)</u>	Dec 2008	▲ 96.05 %	95.00 %	■ 94.10 %	95.00 %
<u>On-Time Performance STS (New Standard)</u>	Dec 2008	▲ 92.46 %	90.00 %	▲ 92.61 %	90.00 %
<u>Mean Distance Between Failures (Bus)</u>	Dec 2008	■ 3,677	4,000	■ 3,667	4,000
<u>Mean Distance Between Disruptions (Rail)</u>	Dec 2008	▲ 52,311	39,000	▲ 45,285	39,000
<u>Mean Distance Between Failures (Mover)</u>	Dec 2008	▲ 6,048	6,000	▲ 6,306	6,000
<u>Total Number of doors completed for Phase II MetroMover Cars "Facelift"</u>	Jan 2009	▼ 1	5	▼ 1	5
<u>Elevator Availability (Metrorail & Metromover)</u>	Dec 2008	▲ 96.9 %	96.0 %	▲ 97.6 %	96.0 %
<u>Escalator Availability (Metrorail & Metromover)</u>	Dec 2008	▼ 91.1 %	95.0 %	▼ 92.6 %	95.0 %

This is a screenshot from Transit's scorecard. Transit tracks several measures to show on-time performance. The one that garners most attention is weekday on-time performance for buses (arrow marked in green). As you can see in Section 1.2 one of the two green arrows for FYTD indicate that for the fiscal year to date the stated goal of 75% for on-time performance for weekday bus is currently at 77.18%. For the quarter of Dec 2008, they are in green status

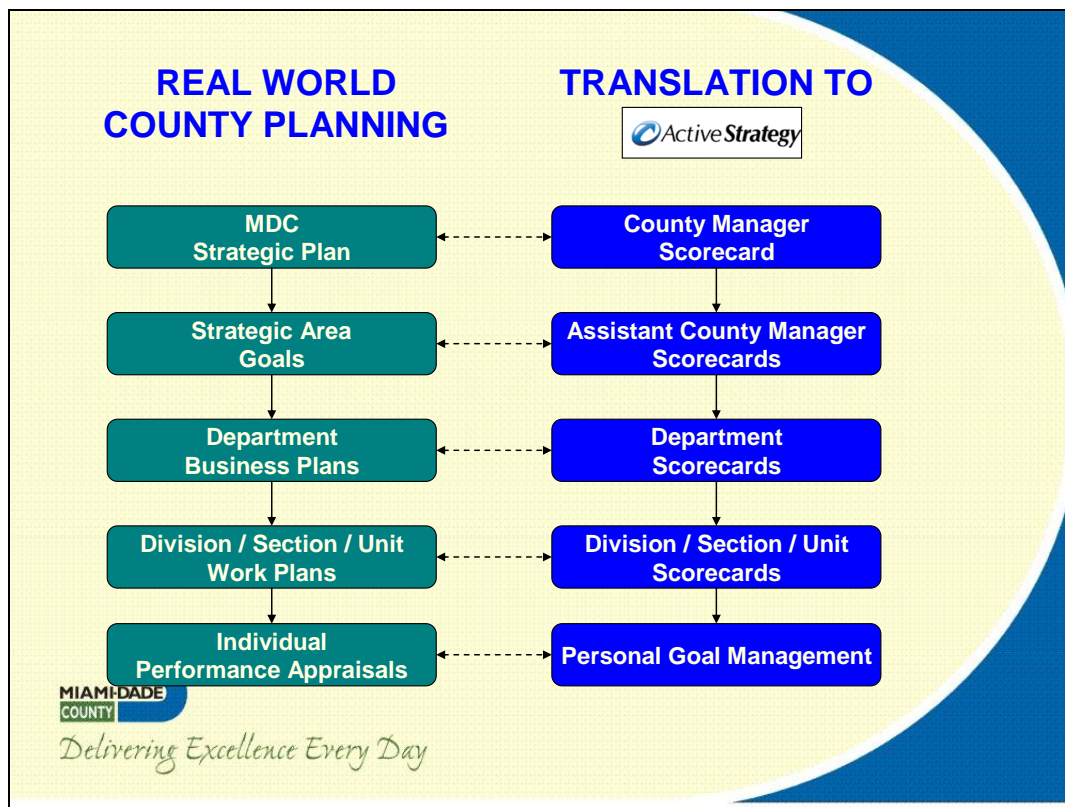
STRATEGIC ALIGNMENT

which means that they are above their stated goal of 75% by achieving 78.29%. A yellow box means that you have not achieved the stated goal but are very close to meeting it. It is a warning message to highlight that a little extra effort is needed to attain the stated performance measure. A red box means that the department has not achieved the stated goal. It is an immediate warning message to ensure that the department addresses this issue toward achieving that stated performance measure.

Terms on top of scorecard:

- ❖ Actual: Performance value for the month of December
- ❖ Business Plan Target: Department goal for the month
- ❖ FYTD Actual: Average of "Actual" for period of October 2007 - December 2008
- ❖ FYTD Target: Average of Business Plan Target over October 2007-December 2008

STRATEGIC ALIGNMENT



Using a business reporting tool called “Active Strategy Enterprise (ASE),” all levels of management can get a quick snapshot of how any department is performing to meet its goals and objectives. It gives everyone in the organization a focus and direction that assists employees in achieving success.

The Scorecard is the measure on how one is doing!

- The County’s Strategic Plan is THE County Manager’s Scorecard
- The Strategic Area Goals is THE Assistant County Managers’ Scorecard
- The Department Business Plans is THE Departments’ Scorecard
- The Division/Section/Unit Work Plans is THE Division/Section/Unit’s Scorecard
- The Individual Performance Appraisals is THE Personal Goal Management

Everyone is held accountable and is measured on his/her performance!

COUNTY MANAGER'S AWARD OF EXCELLENCE

MIAMI-DADE COUNTY COUNTY MANAGER'S AWARD OF EXCELLENCE

The County Manager's Award of Excellence Program recognizes outstanding leadership, initiative, and innovation that contributes to significantly improving Miami-Dade County's delivery of services and exemplifies the County's vision of "Delivering Excellence Every Day." Awardees are individuals who motivate others and work to achieve success through teamwork and fostering an environment of results oriented government.

An Award of Excellence is made by the County Manager based on demonstrated leadership and commitment to achieving the County's mission and objectives. Nominations will be made by Assistant County Managers based on the Six "C's" for leadership excellence – Collaboration, Communication, Competence, Courage, Courtesy, and Creativity. Awards are presented at the County Manager's executive staff meetings and recipients are featured in the County's news media.

This program acknowledges executives who have achieved demonstrated successes and excel at delivering results through a combination of the following leadership qualities:

Collaboration

Leaders who encourage teamwork with their peers and foster a collaborative environment among their staff. These leaders build diverse and collaborate relationships across departments and functions. They communicate constantly and encourage staff to seek out other people's ideas. They are equally skilled at listening to understand the other's point of view. They understand the power of collaboration, unified teamwork, and look to promote that within all levels of the organization.

Communication

Leaders who promote open and honest communication throughout their organization as well as horizontal and vertical interaction with other County and non-county entities. These individuals value and act on prudent recommendations from staff and customers to assess

COUNTY MANAGER'S AWARD OF EXCELLENCE

opportunities for service enhancement and to improve working relationships. They also understand the importance of listening whether to superiors, peers, staff, or customers.

Competence

Competent leaders strive for improved expertise for themselves and their staffs through continuing education, exposure to new concepts, and self-development. These individuals are committed to becoming the best in their professions and support employees to achieve the same through education and training.

Courage

Leaders who courageously promote and advance the County's agenda in the best interest of County residents and its employees even when such initiative may result in a radical departure from the status quo. These leaders manage with professionalism supported by their competence and understanding of the issues and overcome the resistance to positive change.

Courtesy

Leaders who create a culture dedicated to service, mutual respect for others regardless of status, and foster a customer service attitude among staffs. These individuals recognize that our success is contingent on providing the best possible service to the community in the friendliest, welcoming, and courteous manner possible.

Creativity

Leaders who think "outside the box" to explore and implement new and innovative methods of delivering services and exemplify the County's results oriented government approach. These individuals encourage employees and foster an environment that promotes innovation and achievement to improve service delivery.

Each of these six C's displays specific characteristics that will allow an individual to become a leader in their respective organization. Assess yourself in those areas that you are strong in and in those areas where you need further development. Can you see how these six C's can apply to your own performance appraisal? Develop a plan of action in those areas that need further development by attending employee development opportunities offered by the County or third party vendors.

PERFORMANCE MANAGEMENT

The Management/Professional Performance Appraisal was initially targeted for all senior-level management employees. Now, all non-bargaining unit employees are eligible to use this performance appraisal instrument if their management so chooses. It is highly recommended to use this tool for these individuals. There is a memo dated December 1, 2008 from Angela Maher, Human Resources Director that details the further expansion of the use of the Management/Professional Performance Appraisal instrument. A copy of this memo is available on this online MPPA website for your review.

Listed below are the current employees who are covered by and who are required to use the evaluation system.

- ❖ Assistant County Managers
- ❖ Department Directors
- ❖ Deputy Directors
- ❖ Assistant Directors
- ❖ Division Directors
- ❖ Chiefs
- ❖ Non-bargaining unit employees

PERFORMANCE MANAGEMENT

Management/Professional Performance Appraisal - Introduction

The development of the Management/Professional Performance Appraisal Process was a multi-year effort reviewing performance appraisal models nationwide. The best common elements from the models studied were selected and adapted as best suited for Miami-Dade County's structure. Additional refinements were then made. The MPPA form was reviewed by Assistant County Managers, the Human Resources Department, and senior management staff countywide who acted as subject matter experts to validate the evaluation.

After this Introduction section, you will be introduced to the Management/Professional Performance Appraisal instrument. This instrument has four sections which will also be covered with descriptions. The instrument begins with the employee's personal information.

The Management/Professional Performance Appraisal Form is comprised of two main assessment areas, Performance Objectives and Performance Dimensions. These areas each have a weight of 50% toward the total rating. The remaining sections are for comments, the calculation of results, and signatures.

The form records the individual objectives, relative weight, and the performance standards by which the achievement of the objectives will be measured. The form also provides for a Statement of Commitment and a Mid-Year Review to ensure that the agreed upon objectives, weights, and standards are still valid.

The form is completed at the beginning of the evaluation period where the majority of the effort in this process takes place. This is when the relevant objectives, standards, and weights are established in a meeting between the employee and appraiser to develop objectives that reflect the County's mission and support the departmental business plan. The development of the objectives should be a cooperative effort and focus upon the most relevant objectives. The Performance Dimensions should also be reviewed to ensure all parties are aware of the expected behaviors contained within the individual performance dimensions listed. The Statement of Commitment (Section 4) is signed by the employee, appraiser, and reviewer to

PERFORMANCE MANAGEMENT

signify that all parties have taken an active role in establishing the performance expectations for the employee within the specific rating period.

The top of the Management/Professional Performance Appraisal is filled with information that should include:

- Employee's Name, Job Title, Occupation Code (OCC) & Employee ID (identification number)
- Appraisal Period Coverage
- Appraiser's Name & Job Title
- Type of Review
- DDL (Department Number, Division Number, & Locator Number)

Section 1 – Performance Objectives

Objectives are precise statements of measurable targets that describe the end results of a service or program that should be achieved in a specific period of time. Objectives should be developed following the “SMART” acronym: Specific, Measurable, Attainable, Results oriented, Time bound.

For example: Implement the XYZ system for all County departments by the end of this rating period (12/31/11).

Standards

Performance standards are quantifiable measures of outcomes, quality, efficiency, etc. and are sometimes called performance indicators. These indicators are usually embedded within the objectives and should measure the progress made in achieving the objective. For purposes of this process, performance standards should be developed for the 1- Unsatisfactory; 3 - Satisfactory; and 5 – Outstanding rating levels. For example:

Level 1 Implement the XYZ system for 50% or less of County departments by 12/31/11.

Level 3 Implement the XYZ system for all County departments by 12/31/11.

Level 5 Implement the XYZ system for all County departments by 9/31/11.

PERFORMANCE MANAGMENT

Ratings of 1 through 5 may be awarded; however, definitions are not required for levels 2 or 4. If for example, the XYZ system were implemented for 75% of County departments by the end of the rating period, the employee could be awarded a “2” rating. If the XYZ system were fully implemented by 11/30/11, the employee could be awarded a “4” rating.

Weightings

Although the form should focus upon the most significant objectives, not all objectives will necessarily have the same weight. The weightings should reflect the comparative priority or importance of the objectives developed. The designation of weightings should also be a cooperative effort. The sum of all weightings must equal 100 percent.

MANAGEMENT/PROFESSIONAL PERFORMANCE APPRAISAL INSTRUMENT AND INSTRUCTIONS



Management/Professional Performance Evaluation

INSTRUCTIONS: This form is used to evaluate all County professional and managerial employees.

EMPLOYEE INFORMATION					
Employee Name:	Click here and type		Employee ID:	Click here and type	
Job Title:	Click here and type		OCC. Code:	Click here and type	
Completed By:	Click here and type		Period Covered:	Click here and type	
Job Title:	Click here and type	Type of Review <input type="checkbox"/> Annual <input type="checkbox"/> Mid Year	Dept. No: Click here	Division No: Click here	Locator No: Click here

SECTION 1— PERFORMANCE ON ESTABLISHED OBJECTIVES			
Objectives, weights, and performance standards are developed with the employee at the beginning of the review period. At the time of annual review, please consider all factors that could have affected the outcome, as well the level of effort made to achieve stated objectives. Objectives should focus on outcomes and stem from departmental business plans and budget priorities. At the end of each review period, future performance objectives should be mutually developed and agreed upon between the employee and supervisor for the next review period.			
List objectives and performance standards below, and enter the assigned weights (%) in Column I. Ensure total weight adds to 100%	Weight (W)	Rating (R) = (1-5)	Weighted Rating = (W*R)

OBJECTIVE 1 —	Tab here and type	%		0.00
Performance Standards 1. Click here and type 3. Tab here and type 5. Tab here and type				

OBJECTIVE 2 —	Tab here and type	%		0.00
Performance Standards 1. Click here and type 3. Tab here and type 5. Tab here and type				

MANAGEMENT/PROFESSIONAL PERFORMANCE APPRAISAL INSTRUMENT AND INSTRUCTIONS

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Employee Name:	Click here and type
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OBJECTIVE 3 –	Tab here and type	%		0.00
Performance Standards 1. Click here and type 3. Tab here and type 5. Tab here and type				

OBJECTIVE 4 –	Tab here and type	%		0.00
Performance Standards 1. Click here and type 3. Tab here and type 5. Tab here and type				

OBJECTIVE 5 –	Tab here and type	%		0.00
Performance Standards 1. Click here and type 3. Tab here and type 5. Tab here and type				

MANAGEMENT/PROFESSIONAL PERFORMANCE APPRAISAL INSTRUMENT AND INSTRUCTIONS

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Employee Name:	Click here and type
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OBJECTIVE 6 –	Tab here and type	%		0.00
Performance Standards 1. Click here and type 3. Tab here and type 5. Tab here and type				

OBJECTIVE 7 –	Tab here and type	%		0.00
Performance Standards 1. Click here and type 3. Tab here and type 5. Tab here and type				

OBJECTIVE 8 –	Tab here and type	%		0.00
Performance Standards 1. Click here and type 3. Tab here and type 5. Tab here and type				

PERFORMANCE OBJECTIVE TOTAL RATING:	0.00%	Sum of Weighted Ratings	0.00
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MANAGEMENT/PROFESSIONAL PERFORMANCE APPRAISAL INSTRUMENT AND INSTRUCTIONS

Section 2 – Performance Dimensions

The Performance Dimensions reflect expected behaviors for all Miami-Dade County employees occupying non bargaining positions within the areas of:

1. Leadership
2. Innovation, Creativity, Strategic Vision
3. Customer Service Focus
4. Management Skills
5. Employee Development and Self Development

Descriptors for the numeric ratings 1, 3, & 5 were developed for these dimensions; however, as with Section 1, ratings of 1 through 5 may be awarded. To simplify the process, definitions need not be developed for the 2 and 4 rating levels. If a department desires to develop more specific expected behaviors for Section 2, they may do so; however, this information must be provided to employees prior to the beginning of the rating period.

At the beginning of the rating period when the objectives (Section 1) are being developed, a discussion must occur between the employee and the appraiser outlining the expected actions and desired outcomes for each dimension.

At the end of the rating period, the individual ratings will be recorded based on the level of achievement for the desired outcomes throughout the rating period. For example, if the employee consistently met the majority of expected behaviors for “Leadership,” then a rating of between 3 to 4 could be given.

MANAGEMENT/PROFESSIONAL PERFORMANCE APPRAISAL INSTRUMENT AND INSTRUCTIONS

Employee Name:

SECTION 2 – MANAGEMENT/PROFESSIONAL PERFORMANCE DIMENSIONS

Performance Ratings:

1. Consistently **failed** to meet the majority of the expected behaviors for this performance dimension
3. Consistently **meets** the majority of expected behaviors for this performance dimension
5. Consistently **exceeds** all expected behaviors for this performance dimension

PERFORMANCE DIMENSIONS	Performance Rating (1-5)
LEADERSHIP	
<p>Fosters a team approach, encourages and accepts input from other, is accessible to employees and promotes effective employee communication within and across departments and business units. Clearly communicates (written and verbally) to citizens, organizations and elected officials. Promotes ethical behavior and holds individuals at all levels, including external contractors to high ethical standards. Demonstrates courage, both in decision-making and executing job responsibilities.</p> <p>Maintains professional and positive relationships with supervisors, peers, subordinates and works effectively with others to achieve County goals. Demonstrates a capacity and willingness to assume additional responsibilities, establishes meaningful and challenging departmental objectives, monitors departmental productivity effectiveness, provides appropriate feedback and promotes continuous improvement.</p>	
INNOVATION, CREATIVITY, STRATEGIC VISION	
<p>Develops innovative and creative solutions to issues consistent with the County's strategic vision of "Delivering Excellence". Demonstrates a proactive, forward-thinking approach in determining business objectives and direction. Frequently assesses the business and environmental trends and changes in customer preferences to develop strategic initiatives to improve service delivery.</p>	
CUSTOMER SERVICE FOCUS	
<p>Promotes and instills a courteous, yet effective, customer service approach in all areas of operation and responds expeditiously to service issues in a manner that provides value to customers. Anticipates both external and internal customer service needs and empowers staff to develop and implement sound, innovative approaches to service delivery</p>	
MANAGEMENT SKILLS	
<p>Develops sound business plans and operating procedures. Effectively prioritizes tasks; exercises good judgment; applies solid problem-solving skills; delegates authority and empowers staff; and takes appropriate action to resolve issues and to eliminate non-value added tasks. Demonstrates a high level of professional, managerial, and technical job knowledge and applies best practices.</p> <p>Produces clear, accurate and well-developed work products, meets established deadlines and completes projects on schedule. Demonstrates prudent fiscal and resource management skills and applies sound personnel practices in accordance with County personnel rules.</p>	
EMPLOYEE DEVELOPMENT AND SELF-DEVELOPMENT	
<p>Empowers and motivates employees, and encourages a high performance work environment. Develops and implements workforce planning strategies to include succession planning, mentoring and organizational design that best align with the department's present goals and objectives and anticipated future needs. Develops, empowers, trains, and motivates employees to improve competencies and professional knowledge to manage increasingly complex responsibilities.</p> <p>Develops personal competence, skills and abilities to remain current in the industry/service area and acquire additional skills necessary to improve job performance and to assist subordinates in solving problems and addressing leadership.</p>	
SUM:	<u>0.00</u>
Average Rating:	<u>0.00</u>

MANAGEMENT/PROFESSIONAL PERFORMANCE APPRAISAL INSTRUMENT AND INSTRUCTIONS

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Section 3 - Overall Performance Rating

This section is completed when the evaluation has been finalized. It combines the ratings from sections 1 and 2 into the overall rating. Sections 1 and 2 each have a weighting of 50% towards the total rating. The overall rating is derived by adding 50% of the sum of the weighted ratings from Section 1 and 50% of the average rating from Section 2.

Example:

If the sum of the weighted ratings in Section 1 is 3.4, this score is entered into the rating column as shown below. The weighted rating will equal 1.7 ($3.4 \times 50\%$).

If the average rating in Section 2 is 4.4, this score is entered into the rating column as shown below. The weighted rating will equal 2.2 ($4.4 \times 50\%$).

The overall rating will equal 3.90.

Section 3 - Overall Performance Rating

	Weight (w)	Rating (r)	Weighted Rating = (w*r)
Section 1: Performance Objectives	50%	3.40	1.70
Section 2: Performance Dimensions	50%	4.40	2.20
OVERALL RATING	100%		3.90

The completed Management/Professional Performance Appraisal Form will produce a numeric score that will be expressed in terms of "Rating Levels." This replaces the concept of awarding ratings of Unsatisfactory, Needs Improvement, Satisfactory, Above Satisfactory, and Outstanding. For example:

Below 3.0	Below minimum acceptable performance
3.0 to 3.4	Level 1
3.5 to 3.9	Level 2
4.0 to 4.4	Level 3
4.5 & >	Level 4

MANAGEMENT/PROFESSIONAL PERFORMANCE APPRAISAL INSTRUMENT AND INSTRUCTIONS

Section 4 – Comments

The Comments section has been provided to enable participants in the process to include language related to the evaluation and overall rating as is deemed necessary.

Statement of Commitment

The Statement of Commitment section verifies the agreement among all parties that the objectives, standards, and weightings listed will form the basis of the employee's evaluation under Section 1 for the specified rating period. The Statement of Commitment is signed by the employee, appraiser, and reviewer, at the beginning of the rating period indicating that the individual performance objectives were cooperatively developed and have been agreed to unless formally amended.

Mid-Year Review

Until the actual evaluation takes place (when the overall rating is awarded), the Management/Professional Performance Appraisal Form is considered a working document. The Mid-Year Review is included to allow for adjustments to the Management/Professional Performance Appraisal Form as required by changes that may have occurred during the rating period that impact the Objectives, Standards, or Weightings. These may include budgetary constraints, shifting departmental priorities, unforeseen circumstances such as a major hurricane, or other operational issues. The purpose of the Mid-Year Review is to ensure that the appraiser and the employee meet at least once during the rating period to discuss the employee's objectives and performance dimensions. As with the Statement of Commitment, the Mid-Year Review serves to verify that the agreed upon elements of the employee's appraisal are still valid.

Annual Year Review

At the end of the evaluation year or rating period, two important processes must occur.

1. The appraiser must be prepared to discuss and close-out the established objectives in Section 1, recording the rating based on how successful the employee was in achieving

them (rating of 1,2,3,4 and 5 as discussed earlier) and complete the ratings for the 5 performance dimensions listed in Section 2, also based on how successful the

MANAGEMENT/PROFESSIONAL PERFORMANCE APPRAISAL INSTRUMENT AND INSTRUCTIONS

employee was in achieving the benchmarks established at the start of the rating period (twelve months ago).

2. The appraiser must be prepared to discuss, agree, and sign-off on the objectives (Section 1) for the next evaluation period and also must discuss the expected outcomes for the 5 Employee Performance Dimensions (Section 2).

It is important to mention that during the close-out of the current evaluation, the objectives and an interactive dialogue must occur for the upcoming evaluation period. The transition must be seamless from one year to the next.

MANAGEMENT/PROFESSIONAL PERFORMANCE APPRAISAL INSTRUMENT AND INSTRUCTIONS

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Employee Name:

SECTION 3 – OVERALL PERFORMANCE RATING			
	Weight (w)	Rating (R)	Weighted Rating = (w*R)
Section 1: Performance Objectives	50%	0.00	0.00
Section 2: Management/Professional Performance Dimensions	50%	0.00	0.00
OVERALL RATING	100%		0.00

SECTION 4 – COMMENTS Tab here and type comments

STATEMENT OF COMMITMENT

The objectives and performance standards have been discussed and agreed to for this rating period.

Employee's Signature

Date

Appraiser's Signature

Date

Reviewer's Signature

Date

MID-YEAR REVIEW	ANNUAL YEAR REVIEW
_____ Employee's Signature	_____ Employee's Signature
_____ Date	_____ Date
_____ Appraiser's Signature	_____ Appraiser's Signature
_____ Date	_____ Date
_____ Reviewer's Signature	_____ Reviewer's Signature
_____ Date	_____ Date

MANAGEMENT/PROFESSIONAL PERFORMANCE APPRAISAL INSTRUMENT AND INSTRUCTIONS

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The performance appraisal form is completed prior to the beginning of the rating period and a copy is given to the employee, appraiser, and the reviewer. The management dimensions are also reviewed.

At the end of the rating period, a copy of the appraisal form and employee salary review form are sent to the Human Resources (HR) department.

A recap of the MPPA process is as follows:

1) Performance Objectives are defined upfront based on discussions between the appraiser and the employee. The Management Dimensions are discussed to ensure mutual understanding, and agreement is made with the employee and appraiser signing off and agreeing to next year's goals and objectives.

2) A Mid-Year Review is conducted to ensure that all of the defined goals and objectives are being addressed and are on target for completion. It is also another opportunity for any readjustments/additions/deletions of performance objectives.

3) Finalizing the completion of the performance appraisal at the end of the appraisal period is the next major step after the mid-year review. The reviewer should:

- Recall the file
- Complete the ratings
- Sign-off
- Discuss performance with the employee
- Obtain employee signature

4) The performance appraisal is conducted and the development of the next period's goals is defined. This should be a collaborative process between the employee and the appraiser.

RESOURCES

If you have any further questions as it relates to the Management/Professional Performance Appraisal process, please contact the Human Resources Department at (305) 375-5654.

Questions pertaining to strategic planning can be directed to Office of Strategic Business Management, Management Planning and Performance Analysis Division at (305) 375-5143.

Online Resources

Human Resources Department

<http://www.miamidade.gov/hr/>

Office of Strategic Business Management

<http://www.miamidade.gov/mppa/>

GLOSSARY OF TERMS

ActiveStrategy Enterprise (ASE)

ASE is an online performance management system used by Miami-Dade County that acts as a repository for all of the County's strategic and business planning information. ASE uses scorecards to track performance on objectives and measures related to strategic planning goals and objectives.

Business Plans

The purpose of departmental Business Plans is to communicate the intended accomplishments for each department consistent with the strategic plan for the current and next fiscal year as well as describe any factors which may limit the department's ability to achieve these accomplishments.

Business Plan Targets

Business plan targets are the performance levels required to achieve an objective.

Departmental Performance Indicators

Departmental Performance Indicators are the measures that express the County's performance intentions directly related to the objectives and associated outcomes in the County Strategic Plan.

Goal Statements

Provide direction to address the strategic themes and help guide us toward the desired future. For each goal statement we have defined a desired outcome or set of outcomes that the County must achieve to be successful in accomplishing the goal. These outcomes are from the customer/community perspective.

Initiatives

Initiatives are specific coordinated efforts to improve performance.

GLOSSARY OF TERMS

Key Performance Indicators

Key Performance Indicators are the measures that express the County's performance intentions directly related to the objectives and associated outcomes in the County Strategic Plan.

Mission Statement

It serves to Identify Overall Purpose of Organization, Identify Customer/Stakeholders, Help Identify Customer and Stakeholder Needs, Expectations, and Requirements Lead to the Development of Performance Measures.

Objectives

Objectives are statements of intent, linked to a scorecard, directly related to strategic plan goals or outcomes.

Performance Measures

Performance Measures indicate how much or how well a department is doing, its success. It tracks the department's progress toward achieving its objectives linked to the goals and mission of the organization.

Resource Allocation Process

The Resource Allocation Process emphasizes departmental program areas, assigning resource allocations to the priority outcomes identified in the strategic plan, linking those allocations to related performance measures and targets, and facilitating performance reporting mechanisms.

Results Oriented Government

Miami-Dade County developed a framework of service excellence through results oriented government that is predicated on strategic and business planning, and is bolstered by performance management and feedback systems. Results Oriented Government focuses on achieving results for our customers; being responsive and accountable to the taxpayers.

GLOSSARY OF TERMS

Scorecards

Scorecards are tools used to track a series of objectives and measures to gauge performance over time. A balanced scorecard contains objectives and measures in a number of key areas or perspectives.

Strategic Plan

Simply stated, the Strategic Plan serves as the community's roadmap that will take us from where we are today to where we want to go in the coming years. Having a plan is as important to our future as architectural plans are to building a home.

Strategies

Strategies summarize at a broad countywide level the actions that will be taken to achieve the outcomes. Business plans serve as a vehicle to fine-tune strategies at a department and division level.

Vision Statement

A vision statement communicates our organization's hopes and desires for the future.