

Proactive Performance Appraisal

Human Resources Department

eMDC Human Resources...Matters



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The graphic features a cluster of colorful social media icons (Share, Photo, Tweet, Like, Music, Friends, Tweets) on the left. The text is centered on a dark grey background with a white border.

Learning Objectives

- Communicate job requirements, expectations and performance standards to employees.
- Standardization and Accountability on the Performance Appraisal process throughout the County
- Factors which influence and bias supervisors who conduct appraisals.
- Write clear, concise, objective appraisals, using specific example of behavior and appropriate ratings.
- Prepare schedule and conduct a meaningful, effective performance appraisal interview.



- Research has indicated a **30%** discrepancy between the supervisor and the subordinate on how to get the job done.

- SOURCE (ATD)



- There is a 40% discrepancy between what an employee thinks his or her evaluation will be and what it actually is.
- ***To the employee's disadvantage***

- SOURCE (ATD)



PERFORMANCE MANAGEMENT



DOCUMENTATION

- Helps to ensure accurate performance appraisals.
- Provides a necessary reminder of the incident.
- Assists in providing and substantiating actions.
- Verifies that the supervisor did something.
- Used to record the employee's training and development.



Question?

- How often should you document?



DOCUMENTATION TIPS

- Balance your documentation.
- Document – name/position/date/time/location.
- How did you hear about it?
- Specify details.
- What performance area is affected?
(Negative/positive)
- Action taken.
- Follow-up planned? Yes/No



PURPOSE OF A.O. No. 7-19

- Appraise employees work performance
- Productivity
- Effectiveness
- Compliance with rules and regulations



THE ROAD TO 7-19 WILL TAKE YOU THERE

1. All of the following classifications are subject to performance evaluations EXCEPT
 - a. Probationary
 - b. Permanent
 - c. Temporary
 - d. Exempt
 - e. Regular Part-time

2. The evaluation process facilitates
 - a. Communication between supervisors and employees
 - b. Providing accurate information in making personnel decisions
 - c. Improving employee job performance
 - d. Appraisal of an employee's work performance
 - e. All of the above

3. In a Performance Appeal, the final written report will be final and binding on the department.
 - a. True
 - b. False



THE ROAD TO 7-19 WILL TAKE YOU THERE

4. An employee's whose overall evaluation is **unsatisfactory** receive
 - a. 5% cost of living increase
 - b. 5% merit increase
 - c. re-evaluation in 6 months to determine eligibility for a merit increase
 - d. None of the above

5. An employee whose overall evaluation is **needs improvement** will receive
 - a. An opportunity to improve performance
 - b. A re-evaluation anywhere from one to six months
 - c. A dismissal prior to final re-evaluation
 - d. Both a & b



THE ROAD TO 7-19 WILL TAKE YOU THERE

6. If the rater and the reviewer cannot agree on an evaluation, it is the responsibility of the rater to make changes as recommended by the reviewer.
- a. It depends
 - b. True
 - c. False



THE ROAD TO 7-19 WILL TAKE YOU THERE

7. If an evaluation reflects either a “Needs Improvement” or “Unsatisfactory” in one or more categories, the “Rater’s Overall Evaluation” may not be above the Satisfactory level.
- a. TRUE
 - b. FALSE
8. A permanent employee who has received an overall evaluation of satisfactory, may appeal the evaluation by first requesting a review of the Performance Evaluation by the Department Director within 10 calendar days.
- a. TRUE
 - b. FALSE



THE ROAD TO 7-19 WILL TAKE YOU THERE

9. A Performance Evaluation Appeal Panel, appointed by the Labor Relations Division Director will consist of a
 - a. Three person management team
 - b. Supervisor from the employee's department
 - c. Coworker from the employee's department
 - d. Both b & c

10. The length of probationary period for a new hire eligible for classified service rights is
 - a. Zero months
 - b. Three months
 - c. Six months
 - d. Nine months
 - e. One year



FREQUENCY OF EVALUATIONS

- Prior to merit increase
- Prior to granting permanent status
- Annually



SPECIAL EVALUATIONS WHEN

1. Supervisor resigns or transfers
2. Employee transfers (after 4 months)
3. Substantial change in performance
4. Previously deferred merit increase



Employee Performance Evaluation Criteria

- Quantity of Work
 - Amount of work performed
- Quality of Work
 - Includes accuracy, achievement of objectives, effectiveness, initiatives and resourcefulness, and neatness of work product
- Work Habits
 - Includes attendance, observation of work hours, completion of work on schedule, compliance with rules, policies, and directives, safety practice and use of tools and equipment
- Interpersonal Skills
 - Includes participation and teamwork, contribution of unit morale, working cooperatively with public, peers, and subordinates, and accepting advice and counseling from superiors.



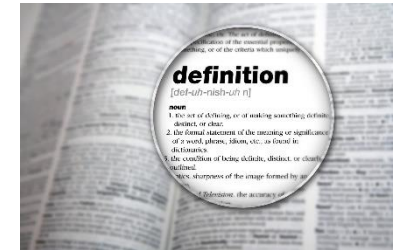
Employee Performance Evaluation Criteria, cont'd.

- Rater's Overall Evaluation
- In what ways can the employee improve performance
- Rater, Reviewer, and Employee Sign-offs
- Employee Comments
- Employee Accomplishments



Definitions of Overall Ratings

- **UNSATISFACTORY**
 - Performance is inadequate and must be corrected.
- **NEEDS IMPROVEMENT**
 - Performance does not fully meet requirements as indicated below.
- **SATISFACTORY**
 - Employee is performing as required and expected in an entirely satisfactory manner.
- **ABOVE SATISFACTORY**
 - Performance surpasses job requirements.
- **OUTSTANDING**
 - Consistently conspicuous, distinguished performance. Employee displays initiative and creativity. Employee has substantially enhanced departmental efficiency and/or effectiveness.

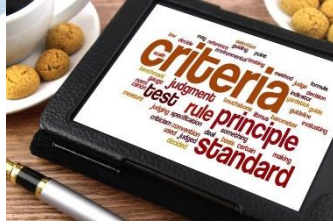


OVERALL RATING RESULTS

OVERALL RATING	MERIT INCREASE	MERIT DEFERRAL	REEVALUATION
Satisfactory or above	Yes	No	No
Needs Improvement	No	Yes	One to six months
Unsatisfactory	No	Yes	Six months, with periodic evaluations if needed – Disciplinary action, up to and including termination, should be initiated at end of six month period if no improvement



Professional/Supervisory Performance Evaluation Criteria



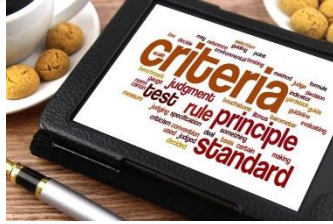
- Achievement of Objectives
 - Includes productivity of the unit (the quantity and quality of output) and accomplishing unit goals
- Decision Making and Judgment
 - Includes assigning tasks, responding to work problems in a timely and effective manner, assessing and establishing priorities, and identifying and evaluating problem areas, and problem solving skills
- Personnel Development
 - Includes orienting new employees, assisting subordinates in accomplishing assigned tasks, recommending training and/or developmental programs (includes self-development), counseling and motivating employees

Professional/Supervisory Performance Evaluation Criteria, cont'd.



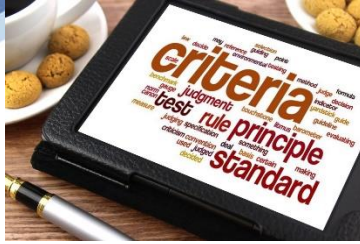
- Planning and Organizing
 - Includes designing realistic short and long range plans, optimizing time, personnel, equipment, and material resources, clearly defining responsibility and authority, and developing work standards for the work unit
- Interpersonal Skills
 - Includes encouraging participation and teamwork, fostering unit morale, working cooperatively with the public, peers, and subordinates, and accepting advice and counseling from superiors
- Communications
 - Includes preparing clear and concise reports and correspondence, and making effective oral presentations

Professional/Supervisory Performance Evaluation Criteria, cont'd.



- Administrative Policy and Procedure
 - Includes understanding and implementing County Code and Administrative Orders, and departmental policies and procedures, complying with Personnel Rules and Leave Manual, grievance procedures and safety regulations, adhering to affirmative action guidelines, and timely effective counseling, evaluation, and disciplinary investigation and recommendation
- Additional Factors
 - May include special skills, knowledge and abilities, special job requirements or temporary assignments

Professional/Supervisory Performance Evaluation Criteria, cont'd.



- Rater's Overall Evaluation
- In what ways can the employee improve performance
- Rater, Reviewer, and Employee Sign-offs
- Employee Comments
- Employee Accomplishments

ROLES/RESPONSIBILITIES

- **RATER**
 - Review, evaluate, rate and provide examples, award/defer increase, outline action plan, consult with reviewer, schedule employee conference
- **REVIEWER**
 - Reviews for objectivity and accuracy
 - Does not change review
- **LEAD WORKER**
 - Input Only
- **DEPARTMENTAL PERSONNEL REPRESENTATIVE**
 - Sends forms to rater, reviews for compliance, prepares INFORMS info, notes next evaluation date
- **HUMAN RESOURCES DEPARTMENT**
 - Processes INFORMS info, schedules appeals, appoints panel



Break



Results Oriented Government

- Vision Statement
 - **A thriving Miami-Dade built on a foundation of innovation, care for people and the environment, and full and fair economic development and opportunity, while facilitating broad input to shape a resilient future**
- Mission Statement
 - **To provide effective and efficient resident and business services that: respond to community priorities and needs; help all our residents and businesses to prosper and thrive; make our community safe and more resilient; and build trust and collaboration inside and outside county government**



Results Oriented Government, cont'd.

- Guiding Principles
 - Efficient
 - Solution-focused
 - Welcoming
 - Agile
 - Inclusive
 - Open and transparent
 - Respectful
 - Kind
- Strategic Alignment
- Department Business Plan



Miami-Dade County's Guiding Principles— Performance Appraisal Connection

- **Efficient**
 - Using an online Performance Appraisal process allows all parties advanced notice of the upcoming evaluation. Both supervisor and employee have enough time to prepare for the formal Performance Appraisal meeting.
- **Solution-focused**
 - Performance Appraisals not only cover the past performance of the employee; it also focuses on achieving the employee's future goals and objectives. If there are any issues that need to be addressed, a solution-focused mindset between supervisor and employee focusing on positive outcomes will be discussed.
- **Welcoming**
 - The Performance Appraisal process should be a collaborative process not an adversarial one. Supervisor and Employee work in a spirit of partnership in assessing current performance and defining the employee's future goals and objectives.
- **Agile**
 - The Performance Appraisal process allows for changing goals throughout the appraisal period as may be needed due to changes in the environment and county priorities. This flexibility leverages the employee's adaptability with any changes given to them.

Miami-Dade County's Guiding Principles— Performance Appraisal Connection

- **Inclusive**
 - The Performance Appraisal process involves both the supervisor and employee in discussing past performance and the future expectations of goals and objectives. In addition, besides the supervisor (rater) there is the supervisor's supervisor (reviewer) to verify for objectivity and accuracy.
- **Open & Transparent**
 - There should be no surprises in the performance appraisal process. The reason is that the supervisor should have been giving ongoing performance feedback to the employee throughout the appraisal period.
- **Respectful**
 - The goal of the performance appraisal process is not only to assess an employee's performance; it is to assist the employee in reaching their full potential. Part of this process includes listening to the employee's perspective on how they performed during the appraisal period.
- **Kind**
 - The performance appraisal should be well-balanced in its documentation. The supervisor should highlight the employee's achievements and accomplishments as much as possible. The employee has an opportunity to provide their achievements and accomplishments online to their supervisor prior to the formal performance appraisal meeting. This will assist the supervisor in their assessment of the employee's performance during this past appraisal period.

Mayor's 4 Es – Performance Appraisal Connection

- Equity
 - All County employees will be evaluated objectively based on their performance.
- Environment
 - The performance appraisal will be conducted in a private location without interruption and in a spirit of collaboration and two-way communication.
- Economy
 - The performance appraisal is done in an electronic format saving the process of printing paper.
- Engagement
 - The performance appraisal process focuses on mutual engagement and discussion between the supervisor and the employee regarding past performance and future expectations for the following appraisal period.

GOALS

are statements of results which are to be achieved. Goals describe:

- **conditions** that will exist when the desired outcome has been accomplished;
- a **time frame** during which the outcome is to be completed; and, often,
- **resources** the organization is willing to commit to achieve the desired result.



SMART GOALS

Examples:

- To increase the number of Social Worker Aides to 600 by October 7, 20xx at a cost not to exceed \$1,700,000.
- Without acquiring any additional resources, generate an additional 10% revenue by the end of fiscal year 20xx.



STANDARD OF PERFORMANCE

A statement which describes a satisfactory level of performance, referring to criteria that must be met time and time again

- Attainable
- Must be able to exceed
- Meet management's needs Not based on the "Average"
- Current level of attainment
- Who sets the pace
- Cover all normal tasks
- Must be written
- Developed with the employee
- Accepted by all involved (supervisor and employee)
- Compatible with department standards
- Kept up-to-date



STANDARD OF PERFORMANCE, cont'd.

- **QUANTITATIVE performance aspects**

- Attendance
- Ability to meet deadlines
- Citations issued
- Number of applications processed



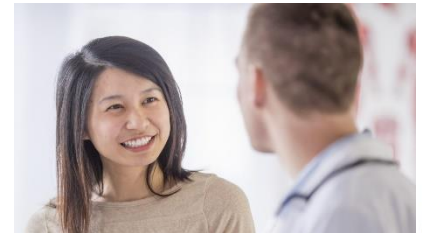
- **QUALITATIVE performance aspects**

- Judgment
- Initiative
- Interpersonal Skills
- Development of Subordinates



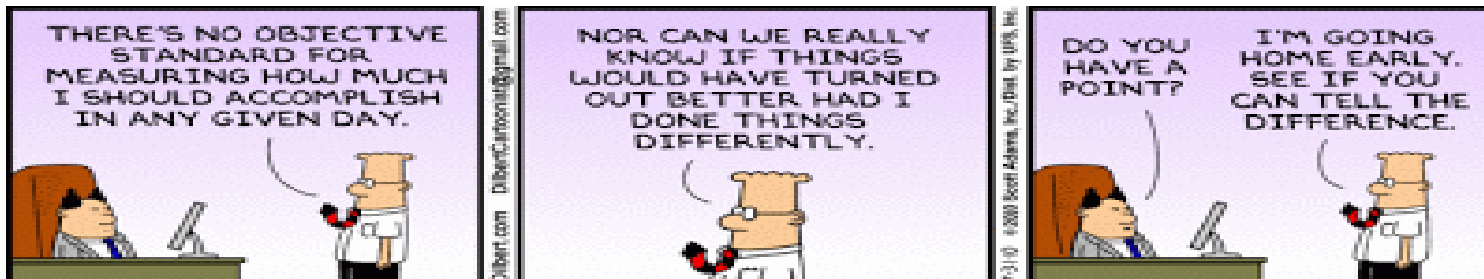
10 Steps to Effective Appraisals

1. Use performance appraisal for performance feedback only
2. Define job standards based on core responsibilities
3. Evaluate & discuss performance all year
4. Don't try to achieve truth in the appraisal discussion
5. Back up ratings with specific examples
6. Get feedback from others
7. Appraise results, not efforts & personal image
8. Split feedback for maximum motivation & minimum argument
9. Reduce subjectivity through forms & comment sheets
10. Provide ongoing training on writing appraisals



EIGHT WAYS TO RUIN A PERFORMANCE APPRAISAL

1. Halo Effect
2. Pitchfork Effect
3. Central Tendency
4. Recency Error
5. Length of Service Bias
6. Loose Rater
7. Tight Rater
8. Competitive Rater



WORDS TO AVOID USING WHEN WRITING PERFORMANCE EVALUATIONS

- Always, usually, never, rarely, sometimes, excessive, innumerable, too little, too much, repeatedly, threaten, punish, scold, admonish, interest, attitude, personality, enthusiasm, maturity, mental condition, state of mind, demeanor, up-to-par, cut the mustard, make the grade, seems, apparently, obviously.

VOCABULARY
Words Are Important!

Also, Avoid Words or Phrases that

- Compare employees to each other, rather than standards.
- Create negative visual images.
- Are not written at the appropriate educational level.
- Are not consistent with County terminology.

VOCABULARY
Words Are
Important!

Employee Appraisal Checklist

- The following questions should help you prepare for your performance appraisal session. As you read and take notes on each question, think about the employee's performance, progress, and future goals/plans.

1. What critical abilities does the employee's job require? Do he/she possess them?
2. What does the employee like best about his/her job? Least?
3. What did the employee accomplish during this rating period?
4. What goals or standards did the employee fail to meet this rating period?
5. How can I help the employee do a better job?
6. Is the employee's effectiveness hindered by circumstances or persons (including me) beyond his/her control?



Employee Appraisal Checklist, cont'd.

7. What changes can the employee make to improve my performance? When?
How?
8. What does the employee want to be doing five years from now and how am is
the employee planning to get there?
9. Does the employee need more experience or training in his/her present job?
10. Is the employee willing to accept more responsibility?
11. How are the employee's relationships with others and how do they affect his/her
performance?
12. What new goals or standards should be established for the employee's next
performance appraisal period? Do any current ones need to be deleted or
modified?



Steps in Appraisal Interview Process

- Preparation

- Takes the most time
- Give advanced notice to employee through PeopleSoft

- Setting

- Reserve private room in advance
- Sit close to exit
- If possible, have reviewer or HR person in the room as well



- Appraisal Interview

- Shouldn't last longer than one hour
- Encourage employee to discuss how they feel about their review
- Discuss expectations for next appraisal period

Appraisal Interview

- Focus on:
- Performance not Personality
- Insight, not Indictment/Blame
- Development (future), not Discipline (past)
- Encouragement (future), not Put-downs (past)
- Discussion (with), not Presentation (to)
- Action Plan (with), not Instructions (to)



How to Get Employee to Participate in Discussion of Performance

NO

- Judgmental
 - “How could you have done such a dumb thing?”
- Authoritarian
 - “This is what I expect you to do from now on.”
- Superiority
 - “We’ve all done it this way since I came to the County.”
- Dogmatic
 - “This is the best solution.”
- Punishing
 - “Everyone in your unit is upset with you for what you’ve done.”
- **A SPECIAL NO – Don’t fail an employee’s probation right before the 26th pay period!!! Consider monthly informal evaluations to get the person back on track!**



How to Get Employee to Participate in Discussion of Performance, cont'd.

YES

- Descriptive
 - “Can you explain what happened?”
- Supportive
 - “What do you suggest we do to prevent this from occurring again?”
- Equality
 - “We’ve done it this way for years, but I’d like to hear your ideas on how we might do it better.”
- Accepting
 - “This appears to be the best solution to me. What other possibilities do you see?”
- Encouraging
 - “What do you think the effect is on your co-workers when you arrive late?”



QUESTIONS TO FACILITATE DISCUSSION

Open Questions

- Open questions cannot be answered with “yes” or “no”.
- They require an opinion or expression of ideas.

Reflective Questions

- Repeat another statement in the form of a question.
- Good listening skills are important.

Directive Questions

- Are used to solicit information.
- Usually used after the other person has finished speaking.
- Used to sustain communication or obtain further ideas or information.





How to Develop An Action Plan

- Once you have completed your planning review, you will need to develop an action plan for the appraisal. Keep the following guidelines in mind and check ✓ those you expect to use in your action plan.
- _____ 1. Don't plan to cover too many areas in one discussion. Concentrate on those which deserve the most attention and are most critical to the job.
- _____ 2. Make sure there are specific, unbiased examples (documentation) that can be used to support your points but that also allow for dialogue.
- _____ 3. Develop positive approaches to correcting problems. Give the employee an opportunity to suggest solutions before any final decision are made.



How to Develop An Action Plan, Cont'd.

- _____ 4. Be prepared to provide praise and positive reinforcement for items which deserve it.
- _____ 5. Identify any developmental activities that will improve the employee's performance in the present assignment; and or provide preparation for future assignments and responsibilities.
- _____ 6. Note any projects, goals, and/or standards to be accomplished during the forthcoming appraisal period. Discuss them and reach agreement on them during the session. It is helpful to put these in writing.
- _____ 7. Plan to involve the employee in all aspects of the discussion. Remember, a one-sided discussion places you in the role of "Judge" not "Evaluator/Enabler".

Wrap-up

