



2019 Supervisor/Manager Training Manual

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Introduction

Purpose

This training will introduce City of Houston supervisors and managers to the Houston Employee Assessment and Review (HEAR) process, guiding principles, and governance.

Participants will be guided through the development of SMART goals that ensure organizational alignment throughout the department. This training also incorporates best practices intended to increase supervisor-employee engagement through ongoing communication, effective coaching, and feedback.

Objectives

The primary objective of this training is to familiarize participants with the HEAR process in such a manner that at the end of this training they will be able to:

- Cite the governing authorities and supplemental guidelines that support the HEAR process.
 - Understand how to create effective SMART goals that align with department goals.
 - Determine how to choose the correct behavioral factor and/or supervisor factors for their direct reports.
 - Understand the importance of using feedback and coaching techniques to engage employees in the HEAR process and open channels of two-way communication.

notes

The HEAR and Now

Background

In the 2011 Meet and Confer Agreement negotiations between the Houston Organization of Public Employees (HOPE) and the City of Houston (COH), HOPE brought forth a need for Employee Performance Evaluation (EPE) reform.

This reform was characterized as a system (process) that is *"fair and objective in its evaluation of performance, transparent in implementation, and has on-going communication to provide increased opportunities to improve performance"*.

A task force was established to analyze the effectiveness of the existing EPE system, establish guiding principles, and provide recommendations to the Labor Management Cooperation Council (LMCC) based on the findings. The following guiding principles were set forth to develop a process that:

- Establishes performance expectations and developmental opportunities
- Aligns strategic goals, business plans, and balanced scorecard
- Requires supervisors to establish SMART performance goals and objectives
- Promotes ongoing feedback and communication of performance
- Keeps the process simple and positive

As a result, the director of the Human Resources department deployed a performance management project team to implement the new HEAR process and application across all departments

notes

What's in a Name?

For any change of culture to be successful, there must be buy-in on behalf of all stakeholders within its organization, which, in this case, includes the entire City of Houston - from the employee to the Mayor.

A city-wide rebranding campaign was launched as an important first step to gain buy-in, communicate the new performance management process, and bring forth the necessary cultural change. As a result, Houston Employee Assessment and Review (HEAR) process was born.



HEAR is a new way of conducting employee assessments that will set a clear expectation for employees and supervisors, establish SMART goals, provide continual feedback, and show employees how they contribute to the city's overall performance and goals; and positively influence the culture and employee motivation to make the City of Houston a career, not just a job.

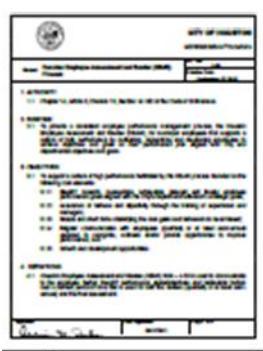
notes

HEAR Governing Authorities

Formally, the EPE system was governed by Mayor's Policy 112 (Job Performance Review) and 115 (Employee Performance Management Process), as supplemental documentation to Chapter 14, Article II, Division 13, Section 14-162 of the Code of Ordinances.

However, guiding principles were later formed, and the enhanced HEAR performance management process was developed. As a result, the City of Houston Employee Performance Evaluation Guidelines were superseded by the HEAR guidelines, and a new policy, Administrative Procedure 3-20 (AP 3-20), was established as the governing authority over the HEAR Process.

The purpose of AP 3-20 is to provide a consistent employee



performance management process for municipal employees that supports a culture of high performance by motivating, recognizing and developing employees to achieve objectives and goals on their performance plan aligned with the City and departmental objectives and goals.

The objectives of the HEAR guidelines, which are supplemental to AP 3-20, is to explain the core elements of the HEAR process, general requirements, key considerations for a successful assessment, roles and responsibilities, and assessment schedule.

Note: The HEAR guidelines was not established as a policy document.

The guidelines provide details on the major steps of the HEAR process, which include:

- Familiarizing the employees with the HEAR process
- Preparing the documentation associated with the process
- Procedures for conducting the work progress meeting
- Recommendations on how to complete the HEAR process



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HEAR Core Elements & General Requirements

The aim of the HEAR process is to support a culture of high performance based on core elements and general requirements; which supervisory personnel are obligated to advance. These commitments include the following:

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Core Elements

- Setting clear expectations for employees
- Establishing specific, measurable, achievable, relevant, and time-based (SMART) goals and objectives
- Providing ongoing feedback to let employees know how they are doing in their job performance, including recognition of achievements and/or opportunities for improvement
- Enabling employees to see how they contribute to the City's performance and achievement of its goals
- Identifying professional growth and development opportunities

General Requirements

- Aligns employee goals with City and departmental goals
- Aligns employee behavioral factors with departmental core values
- Establishes SMART goals to communicate performance standards
- Document specific examples that support ratings
- Follow the established appeal processes to allow employees to address ratings of 2.99 and below
- Participate in training on the HEAR process

HEAR Accountabilities – Who’s on First?

At least four people are involved in the HEAR process. To create the HEAR plan, the supervisor/manager (referred to as supervisor) coordinates with the reviewing authority and the employee to develop SMART goals and select behavioral factors based on the department goals and objectives developed by the department director.

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Supervisor/Manager Roles & Responsibilities

Each employee has certain tasks which he or she is expected to perform. As a supervisor, your responsibilities include meeting with the employee to determine the four most critical goals and objectives that align with the strategic goals of the division/department. These goals/objectives will be converted into SMART goals to be used during the planning session.



In addition to the SMART goals, the top four (most applicable) of nineteen behavioral factors are to be selected for each employee. These may reflect some of the core values established for your department. If the employee is a supervisor, four supervisor/manager behavioral factors should also be chosen.

Once the SMART goals and behavioral factors are decided upon by supervisor, with the employee's input, and approved by the reviewing authority and employee, the HEAR plan form can be completed.

All employees must have a written plan form within thirty (30) days of the following events:

- ✓ Hire or rehire date
- ✓ Beginning of the assessment and review period
- ✓ Date of promotion

In addition to completing the HEAR plan, the supervisor is responsible for periodically observing and documenting the work of his or her direct reports, conducting work progress meetings, providing professional growth and development opportunities. Not to mention conducting HEAR meetings. The supervisor should also meet twice a year with the reviewing authority to discuss HEARs.

Employee Roles & Responsibilities

- Suggest, discuss, and accept SMART goals and behavioral factors on the plan form during the planning session
- Review and sign the current year's HEAR plan
- Provide input to supervisor or manager on his or her achievements
- Be open to feedback and follow-through on development and growth suggestions
- Review and sign the current year's HEAR assessment

Supervisor's Roles & Responsibilities

- Complete the HEAR process according to these guidelines
- Ensure objective rating criteria by developing SMART goals and behavioral factors, which are aligned with the department strategic goals
- Prepare and discuss the HEAR plan form with the employee
- Provide feedback at least two (2) times per year using the plan form as a basis for the assessment
- Maintain complete documentation on employee performance
- Take appropriate steps to maintain effective levels of performance (including coaching, counseling, training, etc.)
- Identify professional growth and development opportunities
- Keep current on HEAR training
- Meet at least twice a year with reviewing authority to discuss HEAR progress

Reviewing Authority Roles & Responsibilities

- Ensure goals and behavioral factors are objective by following the SMART criteria
- Standardize weights and ratings when and where appropriate
- Address and resolve any concerns about weights and/or ratings with the supervisor.
 - Verify that the supervisor's documentation supports the rating or weight; if not, propose an appropriate rating or weight for the supervisor's consideration.
 - Work with the supervisor to reach an agreement before the employee receives the plan or assessment.
- Keep current on HEAR training
- Meet at least twice a year with supervisors to discuss HEARs

Department Director Roles & Responsibilities

- Establish strategic departmental goals and objectives each year to be used as a baseline for alignment with division and employee goals
- Ensure departmental compliance with the objectives and procedures of the HEAR process

Activity: Name That Role/Responsibility

Check all that apply. E=Employee S=Supervisor/Manager R=Reviewing Authority D=Director					
	E	S	R	D	Responsibilities
1.					Address and resolve any concerns about weights and/or ratings. Verify that the documentation supports the rating or weight; if not, propose an appropriate rating or weight for consideration.
2.					Be open and willing to accept feedback and follow-through on development and growth suggestions
3.					Provide professional growth and development opportunities
4.					Be willing to suggest, discuss, and accept SMART goals and behavioral factors on the plan form
5.					Complete the HEAR process according to these guidelines
6.					Ensure objective rating criteria by developing SMART goals and behavioral factors, which are aligned with departmental strategic goals
7.					Provide input on his or her achievements
8.					Establish strategic departmental goals and objectives each year
9.					Keep current on HEAR training
10.					Maintain complete documentation on employee performance
11.					Meet at least twice a year to discuss HEARs
12.					Prepare and discuss the HEAR plan form
13.					Ensure departmental compliance with the objectives and procedures of the HEAR process
14.					Provide feedback at least two (2) times per year using the plan form as a basis for the assessment
15.					Review and sign the current year's HEAR form
16.					Ensure goals and behavioral factors are objective by following the SMART criteria
17.					Review and sign the current year's HEAR plan
18.					Standardize weights and ratings when and where appropriate
19.					Take appropriate steps to maintain effective levels of performance (including coaching, counseling, training, etc.)
					Totals

Dynamics of an Effective HEAR Process

The HEAR plan is a working agreement developed in the meeting between the employee and supervisor to outline the major tasks and responsibilities and serves as a communication tool throughout the HEAR process.

An effective plan involves input from the employee, supervisor, and as necessary, the reviewing authority to ensure that SMART goals/objectives align with organizational goals, and expectations are communicated. Knowing when to conduct the HEAR assessment and review is also an important aspect of the process, as outlined below.

notes

The HEAR Assessment Schedule

Supervisors and managers must complete an assessment during various times of the year. Determine the length of the assessment period (the period that the goals/objectives address). The table below outlines the assessment schedule for City of Houston employees based on the frequency and reason for completing the HEAR:

Schedule for Completing the HEAR:	
Reason for Assessment	Frequency
Employee probationary period	5 th and 11 th Months
Annual assessment period (employee)	July 1 – July 31
Annual assessment period (supervisors and managers)	August 1 – August 31
Promotion	5 th Month
Supervisor/task changes	Unscheduled
Significant improvement or deterioration in performance	Unscheduled

More on the HEAR Assessment Schedule

*Often extenuating circumstances occur which may not fit the criteria or typical schedule for conducting an assessment. Complete an *unscheduled assessment* if the following conditions exist:

1. An overall performance rating of "below expectations"
 - o If this is the case, be sure to re-assess within 120 days or at the discretion of the director.
 2. The employee's supervisor changes the tasks, weights, goals, or behavioral factors previously accepted by the employee.
 3. The employee is reassigned to a new supervisor.
 - o If this is the case, the employee's former supervisor should complete a HEAR based on their observation of the employee's performance.
 - o The new supervisor must then complete a new plan form on the new employee or affirm the current plan form.
 4. The work center operates on scheduled rotations or shift work
 - o If this is the case, the department may choose to set its own guidelines regarding unscheduled HEARs.

Make a note: An unscheduled HEAR should not be completed sooner than 90 days after presenting the plan form to the employee. (Exceptions may be granted at the discretion of the department director or designee.)

What should I do if I want to change or reaffirm a previous HEAR plan form?

- To change or reaffirm previous HEAR plan forms, supervisors must do the following:
 - Schedule a meeting with the reviewing authority to review the changes
 - Schedule a meeting with the employee and discuss the changed or reaffirmed plan form (get the employee's buy-in)
 - Complete the changes in TMS
 - The plan form will need to be reapproved by the reviewing authority and employee

notes

Establishing SMART Goals

Dictionary definition of a goal: "the objective towards which an endeavor is directed; something that somebody wants to achieve".

An organization in which every employee understands and acts upon his or her part in achieving the business strategy; and whereby each person is moving in the same direction, is unstoppable. This is the making of a high performing organization! It also forms the rationale for why an organizational focus on goal setting is so critical.

Goals launch the annual performance journey and are the mechanisms by which the department delivers results against its strategy. Goal setting is critical to employees and their managers. A Gallup poll found that when employees know what is expected of them at work they remain engaged in their work

In "A Theory of Goal Setting & Task Performance", authors Edwin A. Latham and Gary P. Latham cited research showing that specific and challenging goals led to better task performance than vague or easy goals. They not only confirmed the link between goals and performance at work but went on to outline five characteristics of an effective approach to goals setting: clarity, challenge, commitment, feedback and task complexity.



Specific – is the context means that an action or behavior is detailed or focused, and everyone understands exactly what is to be achieved or accomplished.

Measurable – goals/objectives are quantifiable and provide a verifiable, tangible, observable way to determine cost, quantity, time, quality, etc.

Achievable – goal/objective is reasonably challenging in terms of scale, scope, and resources of the task. But to be effective, it must also be realistic enough to attain success in the allotted time available.

Relevant – goal/objective is relevant when it relates to something that directly impacts, changes, or otherwise appropriately contributes to the mission and goals of the department, division, or work center.

Time-based – goal/objective should clearly state a timeframe, deadline, or other time-bound expectation in which the action, activity, behavior, as well as expected changes, will take place. (This parameter can also, be stated as part of the measurement.)

notes

Developing SMART Goals and Objectives

Goals and objectives are often used interchangeably. Goals and objectives that are aligned with the mission, values, and strategies of their department, division, or work center form the foundation for the HEAR process. Listed below are tips and techniques for developing effective SMART goals:

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Tips and Techniques

1. Goals and objectives that have the best chance for success must be written, observable, challenging, and follow the SMART criteria to improve objectivity (specific and measurable); and increase consistency (achievable, relevant, and time-based).
2. Goals should be manageable in number. A list of up to four meaningful stretch goals is sufficient to challenge employees and keep them engaged in their contribution to the department. Adding more goals is likely to have a negative impact on productivity and derail progress.
3. State goals as declarations of intentions, not an item on a wish list.
4. Goals should address both business results and professional development, if possible.
5. The best way to ensure the organization is moving in the right direction is to have a roadmap. The City's business strategy and the vision, mission, and goals/objectives of the department, division, work center and/or team provide focus chart to path where its employee's goals should be headed.



Your road map to success

Writing clear and measurable goals/objectives is the most important task in the HEAR process.

Clear and measurable goals/objectives add objectivity to the performance review process and provide a context for the employee to understand what is expected of them.

It is important to build realistic timelines into work plans that enable you and the employees to track progress towards their performance goals.

Although this seems easy in theory, some employees and managers struggle to identify measurements and milestones that help gauge process.

When considering how to "measure" performance goals, use the following criteria as a guide:

notes

MEASURABLE CRITERIA CONSIDERATIONS FOR RATINGS

QUANTITY	How much of this task must the employee accomplish to be rated Exceptional, Exceeds Expectations, or Meets Expectations?	
QUALITY	How well must the employee perform this task to be rated Exceptional, Exceeds Expectations, or Meets Expectations?	
TIME	How long should the employee need to complete the task well enough to be rated Exceptional, Exceeds Expectations, or Meets Expectations?	
COST	What budget was needed (or established by agreement) to complete this task well enough to be rated Exceptional, Exceeds Expectations, or Meets Expectations? (This may be a measure for management employees.)	

Note: Try to make all the expectations and goals as precise as possible; however, there may be exceptions.

Aligning SMART Goals with COH Departmental Strategies

Goals address every aspect of organizational endeavor. The city or department sets strategic goals related to service delivery and becoming more competent at what we do, whether that is providing public service, cost control, productivity, or other measures.

Operational functions also seek improvement through goals that may address efficiency, expanding capability, increased service support, etc.

Team goals carve out each team's expected contributions to the larger business unit and functional goals, and individual goals further refine the work and make the all-important connection between the individual and the organization.



The goal cascade demonstrates to each individual employee what role he or she plays in achieving the City's strategic goals, as illustrated in the example below.

Business Level	Aligned Goals/Objectives
Mayor's Initiatives/Goal	Increase collections to \$10MM in incremental revenues by end of FY13
Department Goal	Increase General Fund revenues to \$6.2MM in FY13
Division Goal	Implement data warehousing for IT reporting on revenues by 1/1/13
Team Goal	Implement vendor management program by 6/30/12
Employee Goal	Create spreadsheet to catalog all vendor transactions to monitor collection activity by 7/15/12

notes

Setting SMART Goals

The following are suggested steps for the supervisors to use to get a head start on the HEAR process when identifying tasks and developing SMART goals and expectations:

- Create a list of all responsibilities the employee performs in their position.
- Review the list with the employee, and together break down the responsibilities into critical tasks.
- Determine the measurement criteria for each task by considering quality, quantity, timeliness, and cost (as appropriate).
- Ensure employee goals align with departmental strategies/goals.
- Determine the remaining SMART criteria, ensuring the goal is challenging, achievable, applicable, observable, and has a timeline.
- Develop the plan form using these SMART goals/objectives. The plan form should identify how well the employee must perform a task to receive a rating of Exceptional, Exceeds Expectations, or Meets Expectations.
- Schedule a plan session to discuss the SMART goals/objectives with the employee.

notes



Setting SMART Goals Utility Worker Example

The following are examples of SMART goal alignment within a department. This example begins with the Public Utilities Department's strategic goal and cascades down to the employee's tasks and expectations of the position that relate to the specific task of a Public Utility Worker I:

PUD's Strategic Goal/Mission: To be the nation's leading Public Utility, champion for the environment, providing reliable service of exceptional quality to the most satisfied customers in the nation.

The Employee Task: To return landscaping to its original condition upon completion of a water main repair.

The Expectation: That landscaping will be promptly returned to its original condition on all job sites upon completing a water main repair.

The SMART Goal: To consistently receive no requests, within any given month, to return landscaping to its original condition on all job sites upon the completion of a water main repair.

The table below illustrates how the Utility Worker must perform to be rated Exception, Exceeds Expectations, and Meets Expectations based on a combination of the SMART goal, tasks, and expectations:

RATINGS	OBJECTIVES
Employee will be rated:	If he or she performs as follows:
EXCEPTIONAL (5)	Within a month receives no requests to return to job site for landscaping.
EXCEEDS EXPECTATIONS (4)	Within a month receives only one (1) request to return to job site.
MEETS EXPECTATIONS (3)	Within a month receives only two (2) requests to return to job site.
BELOW EXPECTATIONS (2)	Within a month receives three (3) requests to return to job site.
NEEDS IMPROVEMENT (1)	Within a month receives four (4) or more requests to return to job site.

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Setting SMART Goals CSR II Example

This example of SMART goal alignment begins within the Human Resources department strategic goal and cascades down to the employee's tasks and expectations of the position that relate to the specific task of a Customer Service Representative (CSR) II:

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HR's Strategic Goal/Mission: To exceed the expectations of our stakeholders by committing to our shared values, and by achieving the highest levels of customer satisfaction.

The Employee Task: To answer all customer calls and address each inquiry at the first point of contact.

The Expectation: That the CSR will answer all customer inquiries to the caller's satisfaction at first contact, so the customer does not have to call back and receive further assistance.

The SMART Goal: To consistently answer all customer inquiries at first contact and receive no return calls to speak with another CSR or supervisor regarding initial inquiry within one month's time.

The table below illustrates how the CSR must perform to be rated Exceptional, Exceeds Expectations, and Meets Expectations based on a combination of the SMART goal, tasks, and expectations:

RATINGS	OBJECTIVES
Employee will be rated:	If he or she performs as follows:
EXCEPTIONAL (5)	Within one month receives no return calls to speak with another CSR or supervisor regarding an initial inquiry.
EXCEEDS EXPECTATIONS (4)	Within one month receives no more than one (1) call to speak with another CSR or supervisor regarding an initial inquiry.
MEETS EXPECTATIONS (3)	Within one month receives only two (2) calls to speak with another CSR or supervisor regarding an initial inquiry.
BELOW EXPECTATIONS (2)	Within one month receives three (3) calls to speak with another CSR or supervisor regarding an initial inquiry.
NEEDS IMPROVEMENT (1)	Within one month receives four (4) or more calls to speak with another CSR or supervisor regarding an initial inquiry.

Activity: SMART Goal Worksheet

SMART = Specific, Measurable, Achievable, Relevant, Time-Based

Instruction: Write one critical goal for your department, division, or work center in the space below:

Strategic Goal:

Instruction: Using the question below, determine if your critical goal adheres to the SMART criteria. If your goal doesn't successfully fulfill the criteria for each section, rewrite it in the space provided.

1. Is your goal specific? A specific goal should clearly state what you want to accomplish, why it is an important goal, and how you intend to accomplish the goal.

Rewrite the specifics of your goal to ensure it is focused and detailed enough that everyone understands what, how, and why it is to be accomplished:

2. Is your goal measurable? A measurable goal should include a plan with targets and milestones that you can use to make sure you're moving in the right direction.

Rewrite your goal to include verifiable, observable way to determine cost, quantity, time, quality or other measure of success:

3. Is your goal achievable? An achievable goal should be realistic and include a plan that breaks your overall goal down into smaller, manageable action steps that use the time and resources available to you within the timeline you've set.

Rewrite your goal to ensure it is realistic enough to be successfully accomplished within allotted resource and time parameters:

4. Is your goal relevant? A relevant goal should make sense when measured against your critical success model, mission statement, service deliverables, customer base, and industry.

Rewrite your goal to ensure it relates to something that impacts or contributes to your mission:

5. Is your goal time-based? A time-based goal is limited by a defined period and includes a specific timeline for each step of the process.

Rewrite your goal to include a clear timeframe or deadline that the expected activity will take place:

HEAR Behavioral Factors

A behavioral factor/competency is the knowledge, skills, abilities, and behaviors (KSA) that contribute to the successful performance in a position or occupation. The HEAR process uses specific competencies called "behavioral factors".

Each factor should be in alignment with departmental/division core values to determine which are critical in the achievement of a SMART goal/objective and support the department mission.

To ensure the employee understands the relationship between the performance criteria of the SMART goal/objective (what they do); and the how they achieve the performance (how they do it), rate only the most critical behavioral factors on the assessment; approximately the top four (4) core factors.

General Behavioral Factors

Factor	General Behavioral Factor Definitions
<i>Adaptability</i>	<i>Refers to the employee's ability to:</i> <ul style="list-style-type: none">a. Accept change readily, both in job responsibilities as well as in the work environment.b. Maintain effectiveness when experiencing changes in work assignments, processes or conditions.c. Seek to understand changes and approaches change positively.d. Adjust behavior to deal effectively with changes in the work environment.
<i>Analytical Skills</i>	<i>Refers to the employee's ability to:</i> <ul style="list-style-type: none">a. Gather and analyze available information for use in demonstrating, testing and/or solving simple-to- complex concepts or problems.b. Sift and sort through possible solutions to find those that best fit the current need.
<i>Attendance and Punctuality</i>	<i>Refers to the employee's ability to:</i> <ul style="list-style-type: none">a. Work when scheduled, with no unscheduled absences.b. Follow procedures for any scheduled absences.c. Begin and end shifts at scheduled times.d. Follow procedures for notifying supervisor if or when tardiness may occur.
<i>Communication (Oral & Written)</i>	<i>Refers to the employee's ability to:</i> <ul style="list-style-type: none">a. Exchange information and ideas that impact and influence others.b. Be clear, concise and organized in one's communications.c. Demonstrate business-appropriate language skills.
<i>Cooperation</i>	<i>Refers to the employee's ability to:</i> <ul style="list-style-type: none">a. Work pleasantly and effectively with other employees and departments.b. Work pleasantly and effectively with external customers and the public

Factor	General Behavioral Factor Definitions
<i>Customer Focus</i>	<p><i>Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> a. Meet the expectations and requirements of internal and external customers. b. Get first-hand customer information and use it for improvements in products and services. c. Act with customers in mind. d. Establish and maintain effective relationships with customers and gain their trust and respect. e. Show enthusiasm for job.
<i>Dependability</i>	<p><i>Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> a. Recognize and demonstrate actions and behaviors that significantly contribute to both internal and external success. b. Inspire confidence in others based on a proven ability to deliver results.
<i>Employee Development</i>	<p><i>Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> a. Provide challenging stretching tasks and assignments. b. Hold frequent development discussions. c. Maintain awareness of each employee's career goals. d. Construct and execute compelling development plans. e. Encourage employees to accept developmental activities. f. Assist those employees who need help and further development. g. Cooperate with the developmental staff in the organization.
<i>Ethics and Values</i>	<p><i>Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> a. Adhere to an appropriate and effective set of core values and beliefs during both good and bad times and act in line with those values. b. Reward the right values and disapprove of others. c. Practice those actions he/she prescribes for others.
<i>Excellence</i>	<p><i>Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> a. Demonstrate a constant effort to achieve and/or enhance high quality. b. Produce results that meet or exceed expectations.
<i>Job Knowledge</i>	<p><i>Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> a. Master the concepts needed to perform certain work. b. Leverage jobs knowledge and expertise. c. Recognize job priorities. d. Understand how job relates to organizational objectives and align the work accordingly. e. Keep up with current trends in areas of expertise. f. Complete work accurately the first time with little or no rework required.

Factor	General Behavioral Factor Definitions
<i>Job Performance</i>	<p><i>Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> a. Demonstrate knowledge of job standards and procedures that apply to the position. b. Produce or perform work with general quality, consistency, accuracy, and/or appearance. c. Accept responsibility and perform routine and special assignments with minimum supervision. d. Set priorities and organize work activities as needed. e. Produce quantity of work in relation to the acceptable standards determined for the job. f. Meet deadlines when performing or producing the work.
<i>Judgment</i>	<p><i>Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> a. Make timely and sound recommendations that withstand examination. b. Gather and interpret relevant information prior to making decisions. c. Formulate realistic and successful solutions.
<i>Planning and Organization</i>	<p><i>Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> a. Prioritize and plan work activities. b. Use time efficiently. c. Plan for additional resources. d. Identify and plan for improvements and efficiencies in work duties, procedures, and priorities. e. Adapt strategy quickly to changing conditions and priorities.
<i>Problem Solving</i>	<p><i>Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> a. Cope with problem situations of varying degrees of complexity or challenge. b. Evaluate and/or analyze information and provide interpretation in a timely manner.
<i>Project Management</i>	<p><i>Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> a. Lead temporary endeavors with defined beginnings and ends (usually time-constrained, and often constrained by funding or quality and/or scope of deliverables). b. Plan, organize, secure, and manage resources to achieve specific goals. c. Ensure projects managed meet defined goals and objectives.

Factor	General Behavior Factor Definitions
<i>Safety and Security</i>	<p><i>Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> a. Focus attention on safety issues and observe appropriate security procedures. b. Follows safety procedures. c. Attend and participate in safety meetings. d. Complete required safety training. e. Identify safety concerns.
<i>Teamwork</i>	<p><i>Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> a. Collaborate with others to achieve results. b. Work well with fellow employees in a cooperative and team-oriented manner. c. Place higher priority on team/organizational goals than on own goals. d. Motivate fellow employees. e. Take responsibility and initiative and lead by example. f. Serve as project or team leader if called upon.
<i>Utilization of Time</i>	<p><i>Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> a. Produce an acceptable quantity of work that indicates efficient use of time. b. Control time spent on personal telephone calls and conversations with other workers, and time spent away from work area.

Note: Should you have two (2) or more employees with the same position title and similar responsibilities, choose the same behavioral factors for each. Any exceptions should be approved by your reviewing authority.

Supervisor/Manager Behavioral Factors

The Supervisor/Manager Behavioral Factors are additional competencies that supplement the general behavioral factors on the assessment form.

Supervisors should determine the Supervisor/Manager behavioral factors that are critical in achieving a SMART goal/objective and supporting the department mission. (As mentioned earlier, rate only the most critical, top four (4) core factors.)

Note: As with general behavioral factors, remember to select the same Supervisor/Manager factors for each employee with the same title and similar responsibilities. Any exceptions must be approved by your reviewing authority.

Factor	Supervisor/Manager Behavioral Factor Definitions
<i>Conflict Resolution</i>	<p><i>Refers to the supervisor's or manager's ability to:</i></p> <ul style="list-style-type: none">a. Express alternate points of view in a non-threatening way.b. Recognize when it is appropriate to compromise and when it is important to take a stand.
<i>Cost Consciousness</i>	<p><i>Refers to the supervisor's or manager's ability to:</i></p> <ul style="list-style-type: none">a. Adopt an organization-wide attitude about the topics of costb. Understand the impacts of cost containment, cost avoidance, and cost reduction.c. Manage areas or tasks while keeping costs in mind and under control.
<i>Delegation</i>	<p><i>Refers to the supervisor's or manager's ability to:</i></p> <ul style="list-style-type: none">a. Delegate both routine and important tasks and decisions.b. Share both responsibility and accountability for accomplishing tasks.c. Trust people to performd. Allow direct reports and others to finish their own work.
<i>Diversity Commitment</i>	<p><i>Refers to the supervisor's or manager's ability to</i> recognize actions and behaviors that contribute to creating and managing a diverse workforce.</p>
<i>Leadership</i>	<p><i>Refers to the supervisor's or manager's ability to:</i></p> <ul style="list-style-type: none">a. Influence others to accomplish organizational objectives.b. Direct the organization in a way that makes it more cohesive and coherent.
<i>Managing People</i>	<p><i>Refers to the supervisor's or manager's ability to:</i></p> <ul style="list-style-type: none">a. Align each subordinate employee's goal with one or more of your own goals.b. Manage and/or supervise employees effectively, efficiently, and fairly.
<i>Performance Coaching</i>	<p><i>Refers to the supervisor's or manager's ability to:</i></p> <ul style="list-style-type: none">a. Recognize and leverage the strengths and improvement opportunities in all employees.b. Help subordinates achieve their responsibilities and improve their performance.

Test Your Knowledge – Matching General Behavioral Factors to Definitions

FACTOR	GENERAL BEHAVIORAL FACTOR DEFINITIONS
1. Problem Solving	<p><i>A. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> • Accept change readily, both in job responsibilities as well as in the work environment. • Maintain effectiveness when experiencing changes in work assignments, processes or conditions. • Seek to understand changes and approaches change positively. • Adjust behavior to deal effectively with changes in the work environment.
2. Utilization of Time	<p><i>B. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> • Exchange information and ideas that impact and influence others. • Be clear, concise and organized in one's communications. • Demonstrate business-appropriate language skills.
3. Employee Development	<p><i>C. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> • Produce an acceptable quantity of work that indicates efficient use of time. • Control time spent on personal telephone calls and conversations with other workers and time spent away from the work area
4. Adaptability	<p><i>D. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> • Adhere to an appropriate and effective set of core values and beliefs during both good and bad times and act in line with those values. • Reward the right values and disapprove of others. • Practice those actions he/she prescribes for others.
5. Excellence	<p><i>E. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> • Cope with problem situations of varying degrees of complexity or challenge • Evaluate and/or analyze information and provide interpretation in a timely manner.

FACTOR	GENERAL BEHAVIORAL FACTOR DEFINITIONS
6. Job Performance	<p><i>F. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> • Provide challenging stretching tasks and assignments. • Hold frequent development discussions. • Maintain awareness of each employee's career goals. • Construct and execute compelling development plans. • Encourage employees to accept developmental activities. • Assist those employees who need help and further development. • Cooperate with the developmental staff in the organization.
7. Safety and Security	<p><i>G. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> • Demonstrate knowledge of job standards and procedures that apply to the position. • Produce or perform work with general quality, consistency, accuracy, and/or appearance. • Accept responsibility and perform routine and special assignments with minimum supervision. • Set priorities and organize work activities as needed. • Produce quantity of work in relation to the acceptable standards determined for the job. • Meet deadlines when performing or producing the work.
8. Ethics and Values	<p><i>H. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> • Focus attention on safety issues and observe appropriate security procedures. • Follow safety procedures. • Attend and participate in safety meetings. • Complete required safety training. • Identify safety concerns.
9. Communication (Oral & Written)	<p><i>I. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> • Demonstrate a constant effort to achieve and/or enhance high quality. • Produce results that meet or exceed expectations.
10. Cooperation	<p><i>J. Refers to the employee's ability to:</i></p> <ul style="list-style-type: none"> • Produce an acceptable quantity of work that indicates efficient use of time. • Control time spent on personal telephone calls and conversations with other workers; and time spent away from the work area.

Test Your Knowledge – Matching Supervisor/Manager Factors to Definitions

FACTOR	SUPERVISOR/MANAGER BEHAVIORAL FACTOR DEFINITIONS
1. Performance Coaching	<p>A. <i>Refers to the supervisor's or manager's ability to:</i></p> <ul style="list-style-type: none"> • Influence others to accomplish organizational objectives. • Directs the organization in a way that makes it more cohesive and coherent.
2. Conflict Resolution	<p>B. <i>Refers to the supervisor's or manager's ability to:</i></p> <ul style="list-style-type: none"> • Adopt an organization-wide attitude about the topics of cost. • Understand the impacts of cost containment, cost avoidance, and cost reduction. • Manage areas or tasks while keeping costs in mind and under control.
3. Leadership	<p>C. <i>Refers to the supervisor's or manager's ability to:</i></p> <ul style="list-style-type: none"> • Align each subordinate employee's goal with one or more of your own goals. • Manage and/or supervise employees effectively, efficiently, and fairly.
4. Delegation	<p>D. <i>Refers to the supervisor's or manager's ability to:</i></p> <ul style="list-style-type: none"> • Recognize and leverage the strengths and improvement opportunities in all employees. • Help subordinates achieve their responsibilities and improve their performance.
5. Cost Consciousness	<p>E. <i>Refers to the supervisor's or manager's ability to</i> recognize actions and behaviors that contribute to creating and managing a diverse workforce.</p>
6. Managing People	<p>F. <i>Refers to the supervisor's or manager's ability to:</i></p> <ul style="list-style-type: none"> • Delegate both routine and important tasks and decisions. • Share both responsibility and accountability for accomplishing tasks. • Trust people to perform. • Allow direct reports and others to finish their own work.
7. Diversity Commitment	<p>G. <i>Refers to the supervisor's or manager's ability to:</i></p> <ul style="list-style-type: none"> • Express alternate points of view in a non-threatening way. • Recognize when it is appropriate to compromise and when it is important to take a stand.

HEAR Plans: Building Relevance, Fairness, and Completeness

Supervisors are required to conduct periodic observations of employee performance during an assessment period to prepare the HEAR plan.

These observations provide excellent opportunities for on-the-spot coaching and feedback. These sessions should be recorded in TMS.

There are three (3) key considerations that can significantly impact the success of the HEAR plan and assessment while monitoring performance/documenting observations: *relevance, fairness, and completeness*.

Relevance adds value and validity to the process and helps clarify expectations; particularly when employee goals and objectives are in alignment with organizational goals. To ensure relevance:

- Make sure all observations are applicable to specific tasks and/or to the individual SMART goals established in the plan for the assessment and review period.
 - Exercise objectivity when documenting observations of work behavior and performance. Avoid letting attitudes, opinions, or personal preferences obstruct objectivity – good or bad.

Fairness relates to being consistent when documenting observations of employee performance. To ensure fairness:

- Be sure to provide positive feedback when employees perform well.
 - Address and document inappropriate behavior or substandard performance as soon as it is observed to give employees an opportunity to improve.
 - Conduct progressive review meetings with every employee quarterly to exchange feedback on his or her performance. This will help avoid any surprises at the final assessment.

To ensure *completeness*, the combination of observations and documentation should convey a thorough, impartial, and objective picture of the employee's performance. To remain in the spirit of completeness:

- Monitor the entire performance period, not just a single or most recent incident.
 - Consider any unusual circumstances, additional responsibilities, or obstacles that may have negatively impacted timely or successful task completion.



Elements of a Successful HEAR Planning Session

Before rating the employee, the HEAR plan form must be completed. The following information lists additional recommendations when preparing for and conducting your upcoming planning session:

Before the Planning Session

1. Do your homework.

Before meeting with each employee, identify their critical tasks, responsibilities, and key "deliverables" for each task.

A deliverable can be a product or service, depending on the work that supports their classification, and can be an *ongoing* or a *one-time* responsibility.

List no more than four critical tasks.

Determine when and where you will meet with employees, so you can give them your undivided attention.

2. Educate your employees about the process.

During your staff meeting, or individually, let employees know that you will be scheduling an individual planning meeting with each one to discuss responsibilities, goals, tasks, and to create SMART goals to prepare their individual HEAR plan form.

Explain what a SMART goal is. Use the questionnaire on Page 34 to assist you in explaining the concept to your employee.

Encourage your employees to make a list of their responsibilities, goals, and tasks, and put the information into the Performance Journal.

Inform employees that you will periodically monitor their performance throughout the HEAR assessment and review period.

3. Schedule the session, giving the employee enough time to prepare.

Consider blocking your calendar for half a day, full day or more to do nothing but conduct HEAR planning sessions with your employees until they are accomplished.

Consider scheduling a conference room so you won't be tempted to answer ringing phones, email, or uninvited visitors during the session.



During the Planning Session

- #### **1. Meet with the employee.**

Greet your employee and make them comfortable with the seating, without having a desk between you.

Start the meeting with a positive comment. Be sure to mention that their input is extremely important in this process. Explain that this will be the first of several formal and informal dialogues to discuss their performance goals and responsibilities.

- ## *2. Communicate expectations.*

Communicate what you've identified as their responsibilities, goals, and critical tasks. Allow employees time to talk, brag, vent, etc., about their work experiences and what they have identified as critical tasks, responsibilities, performance issues, and career goals.

3. Collaborate with employees to develop SMART goals.

Determine which tasks are the most critical and work with the employee to convert them into specific, measurable, achievable, relevant, and time-based (SMART) goals.

Next, for each goal, determine how the employee must perform to be rated Exceptional, Exceeds Expectations, and Meets Expectations.

After reviewing each SMART goal, employees should ideally believe that they can use their current skills to achieve the goals to make a meaningful contribution to the organization. If not, discuss what obstacles may be hindering their success, or what resources may be needed.

Finally, identify up to four specific HEAR competencies called “behavioral factors” that will assist the supervisor in assessing performance.

- #### *4. End the preliminary session.*

Decide together what can be done to solve any challenges that may have been revealed in the session.

Send the plan form to the reviewing authority and employee for approval.

End the planning session on a positive note by expressing your confidence and support in the employee's achievement of the goals.



notes

After the Planning Session

- #### **1. Conduct a final review of the collaborated plan.**

Draft the collaborated performance plan in the TMS system.

Review the plan to make sure that you have:

- ✓ Up to four critical tasks
 - ✓ Described all goals in observable and measurable terms; using the SMART criteria
 - ✓ Assigned relevant behavioral factors

- ## *2. Meet with the Reviewing Authority.*

Schedule an appointment to review the plan and assess whether:

- ✓ The SMART goals are aligned with the department's strategic goals
 - ✓ The goals meet the SMART criteria to ensure:
 - The employee can perform each of the tasks and responsibilities stated with their current skills and knowledge.
 - Training and mentoring is needed, or whether you'll need to adjust the responsibilities.
 - The employee has the equipment and financial resources to perform the responsibilities in the work plan. If not, discuss a plan to acquire these resources or adjust the plan.
 - ✓ Reviewing authority acknowledges the plan in TMS.

- ### *3. Establish the HEAR work plan as an official record.*

Meet with the employee to review the completed plan and reach agreement on it.

Note: The employee may request some adjustments.

Once both of you agree on the plan, have the employee acknowledge the plan in TMS, this will cause the work plan to move from Pending Review to Activated status and is now ready for the review cycle.

notes

Checklist for HEAR Planning Sessions

The checklist below will assist you in preparing and completing the plan form successfully:

WHO:	Employee and supervisor
WHEN:	Beginning of assessment period
WHAT WILL BE NEEDED:	Employee's task list SMART Goals and objectives HEAR plan form

DATE COMPLETE	GUIDELINES
	1. Supervisor schedules the planning session with the employee
	2. Employee and supervisor discuss SMART goals and behavioral factors for the review period
	3. Reviewing authority reviews the form
	4. Employee signs and dates form
	5. Supervisor signs and dates form
	6. Reviewing authority signs and dates form
	7. Employee receives a copy of the form
	8. Original plan form is maintained to complete the HEAR process at the end of the review period

S.M.A.R.T. Goal Questionnaire

Goal:

Specific Simplistically write and clearly define what you are going to do	What will the goal accomplish? How will it be accomplished? Why does it need to be accomplished?
Measurable Provide tangible evidence that you have accomplished the goal	How will you measure whether the goal has been reached? (list at least two indicators) 1. 2.
Achievable Goals should be achievable, stretch you slightly so you feel challenged, but defined well enough so that you can achieve them. You must possess the appropriate knowledge, skills, and abilities needed to achieve the goal	Is it possible? Have others done it successfully? Do you have the necessary knowledge, skills, abilities, and resources to accomplish the goal? Will meeting the goal challenge you without defeating you?
Relevant Goals should measure outcomes, not activities	What is the reason, purpose, or benefit of accomplishing the goal? What is the result (not activities leading up to the result) of the goal?
Time-Based Goals should be linked to a timeframe that creates a practical sense of importance	What is the established completion date? How long will it take someone to demonstrate competency at this activity? Does the completion date create a practical sense of urgency?

Revised Goal:

Work Progress Review Meetings

The goal of the HEAR process is to encourage on-going communication between supervisory personnel and the employee(s) they supervise. This is an opportunity to give recognition, recommendations, receive input, and identify opportunities to improve performance.

Each employee must understand that his/her assessment will be based on the SMART goals and behavioral factors in the plan.

Supervisors are expected to periodically observe the employee's performance during an assessment period. These observations provide excellent opportunity for coaching and feedback, and you should record them in TMS. The work progress meetings provide feedback to the employee prior to the final assessment.

The supervisor and the employee may agree to change the plan form during the work progress meeting. If both of you agree to this, both parties must approve it in TMS. *NOTE: Once a work plan is approved by both the reviewing authority and employee, unless the employee agrees, it should not be changed.*

Any changes to the plan form will also require reviewing authority approval in TMS.

Key Points to Remember



- 
 - Meet at least twice a year prior to the final assessment. Ideally, you will want to meet at least quarterly.
 - Set aside at least twenty to forty minutes for each session.
 - Discuss achievements, concerns, behaviors, and performance referring to the plan form.



- 
 - Encourage communication.
 - Document each meeting in TMS.
 - Meet with each employee at the same time intervals and for approximately the same length of time.
 - Meet at least twice a year with your reviewing authority to review your documentation.

notes

Sample Work Progress Meeting Form

The work progress meeting should be filled out in the TMS system. To assist you in the conversation, please use the following form when having the meeting, then transfer the information into the employee's HEAR plan.

Employee Name:

Employee ID:

Position Title:

Meeting Date:

Areas where SMART goals and behavioral factors are being met or exceeded:

Areas where improvement is needed:

Employee comments:

Supervisor comments:

Then log them in the HEAR plan form on TMS.

1st Work Progress Meeting - Due by October 31st

Description
1. Set aside at least 20 minutes 2. Discuss achievements, concerns, behaviors, and overall performance 3. Focus on solutions!

Narrative

Save Cancel

notes

Coaching Defined

Coaching is a process to improve performance while helping an employee, team, or organization evolve. Coaching helps an employee, team, and organization find a solution or learn how to perform a simple or complex task or behavior.

Coaching helps people learn for themselves, becoming more capable in finding potential options for a current task or problem while developing skills that can be used in future problems or activities.

Coaching is very different from normal leading and managing. In learning or managing we provide guidance and direction, but generally only do some form of quality checks at the back end or over a large period.

In coaching, supervisors provide more detail at the beginning, observe the performance of the task/behavior, then provide detailed feedback on its performance.



Supervisors observe the performance to ensure he/she can provide feedback to the employee on their performance and proficiency in the task, activity, or behavior.

This observation session should almost never become a "you tell them how to" session. Intervene only to avoid chaos or catastrophe as they are trying to perform the task.

Positive recognition and feedback increases employee motivation. Coaching enables greater delegation and builds a manager or supervisor's reputation as a people developer.

Coaching enhances learning and brings context to what the employee is doing and/or why they are doing it. It encourages initiative, confidence in their freedom of action, and empowers for future actions, while increasing knowledge and proficiency in the tasks being coached.

Coaching will also produce higher levels of motivation throughout the workforce and increased sense of ownership of the organization's systems, tasks, products, services, and requirements.

The high level of interaction between you and your workforce will fuel these increases. As they gain in proficiency in the tasks and behaviors trained in the coaching sessions, they will become even more committed to the quality of your organization's products and services.

notes

Coaching – Role Play Activity

The Coach's Role

1. Begin by asking the employee for feedback about his or her performance.



For example, you might say:

- *"Joe, let's start with you telling me how you feel you're doing on the job. Are you satisfied with your performance?"*
- *"What areas in your performance would you say are the most challenging?"*

This question allows the employee to provide their perspective on their own performance. Engage in active listening and be sure to take notes. Give the employee your undivided attention.

2. Give positive feedback to employee when he or she meets or exceeds performance expectations.

For example, you might say:

- *"Yes, that's good! I agree – you do a good job coordinating your crew and taking care of your equipment."*

In this step, discuss the tasks and responsibilities listed in the HEAR plan. Be specific; all comments should be directly related to the items on the HEAR plan.

3. Give feedback to employee when he or she does not meet the performance or behavioral expectations.

For example, you might say:

- *"I noticed last month your crew received three requests to return to the job site to return the landscaping to its original condition."*
- *"What ideas do you have to help turn this situation around and receive fewer call backs?"*

In this step, include the employee in defining the problem and developing a viable solution. Be aware of your verbal and non-verbal communication to keep the discussion moving in a positive direction. Remember to keep all comments relevant to the items on the HEAR plan.

4. Focus on solutions to problems and major issues.

For example, you might say:

- *"You mentioned you're not satisfied with the teamwork in your area."*
- *"Any ideas on what we can do to promote team spirit?"*
- *"What can we do to turn this situation around?"*

In this step, include the employee in defining the problem and developing a viable solution. Be aware of your verbal and non-verbal communication to keep this discussion moving in a positive direction.

5. Discuss progress towards goal (or behavioral factor) of professional development.

For example, you might say:

- *"What progress have you made toward your goals for professional growth and enrichment?"*

6. Review points discussed and determine future goals for the next meeting.

For example, you might say:

- *"We agree that you have met performance expectations in these areas: coordinating your crew personnel, taking care of your equipment, and time and attendance."*
- *"We also agree that you will work on building teamwork in your area"*
- *"Is that your understanding from our discussion?"*

In this step, you are confirming the discussion and reviewing commitments. Be sure your employee understands what goals are to be met by the next meeting date.

The Employee's Role

Instructions: As the employee, your role is to provide the supervisor/coach with feedback as indicated below:

Ask the supervisor/coach for the following information before the roleplay begins:

1. Two SMART goals on the employee's plan (developed earlier in class)
2. Two behavioral factors on the employee's plan (developed earlier in class)



You and your supervisor scheduled work progress meeting three months ago, and today is the day of the meeting. Be prepared to discuss the following:

1. How you feel about your performance on the job.
2. Areas in *your* performance that you think are the most challenging. *Example: You are having difficulties meeting your deadlines.*
3. Ideas you have for dealing with challenges in your performance. *Example: If you are responsible for a team or crew, you may have ideas for improving teamwork because you're not satisfied with the team spirit in your area.*
4. Suggestions you have for improving your performance when you are not meeting the agreed upon expectations. *Example: If you feel you may have to reorganize your workload.*
5. Ideas you have for excelling when you have met or exceeded expectations. *Example: You may have a proposal for a new fundraising campaign or improvements in customer service.*
6. Action steps you've taken towards professional development/growth and progress made. *Example: You facilitate meetings and you would like to build your confidence as a meeting facilitator. You have taken the following courses: Making Effective Presentations and How to Run an Effective Meeting.*

The Observer Role

Instructions: As the observer, your role is to provide the supervisor/coach with feedback after the role play. Use the pointers on this sheet to help with your feedback. You might want to take some brief notes on this sheet as the role play progresses.

Did the supervisor do the following?

1. Ask the employee for feedback on his/her performance? In general, what did the supervisor say? (i.e., are you satisfied with your performance? What areas in your performance would you say are the most challenging?)
 2. Listen actively to the employee (i.e. provide undivided attention, take notes, respond to what the employee said after the employee finished talking)?
 3. Give positive feedback to the employee when he or she does not meet the performance or behavioral expectations? In general, what did the supervisor say?
 4. Ensure all feedback and comments are specific and related to items on the HEAR plan?
 5. Focus on solutions to problems and major issue?
 - Include the employee in defining the problem?
 - Include the employee in developing a viable solution?
 6. Try to keep the discussion moving in a positive direction when talking about solutions to problems to major issues (i.e. tone of voice, body language, etc.)?
 7. Review points discussed and determine future goals for the next meeting?

The Final HEAR Assessment

notes

The combined result of the supervisor developing and communicating the SMART goals and behavioral factors, observing and providing regular feedback, and conducting the work progress meetings will determine the overall assessment rating.

Before the Final Assessment

1. *Do your homework before meeting with your employees.*
Review your documentation in TMS, including the employee's performance journal.
Assign a rating to each of the SMART goals and behavioral factors; including the reason or justification for each rating.
Make a list of any suggestions for improvement for the employee, if appropriate.
Determine when and where you will meet with the employees, so you can give them your undivided attention.

2. *Ask employees for their input.*
Let employees know that you will be scheduling their final assessment and that you would like them to provide input on how well they think they performed throughout the year. Also ask the employees for a list of their achievements and accomplishments they have attained during the review period.
Encourage your employees to review the list of their SMART goals, they should be maintaining a performance journal, and this will help you to rate each of the SMART goals and behavioral factors they worked together to develop during the planning session.
There should never be surprises regarding the ratings if the employee was engaged in the process throughout the review period, and the periodic observations/work progress meetings were conducted and documented in TMS.

3. *Meet with the Reviewing Authority.*
Review the assessment and employee's rating with the reviewing authority in advance for his/her input and approval. The review should be sent to reviewing authority for approval prior to this meeting.

4. *Schedule the assessment.*

During the Final Assessment

1. *Meet with the employee to discuss the performance assessment.*

Greet your employees and make them feel comfortable with the seating arrangement. Make sure there is not a desk between you. Start the meeting with a positive comment.

2. *Communicate the reasons for the ratings with your employee.*

Review the assessment and explain your rationale for each rating. If necessary, use the work progress meeting notes to support your decisions. Indicate where you were able to use their accomplishments and achievements to help form the ratings.

Next, ask the employees how they think they would rate themselves. Give them an opportunity to discuss the reasons for their ratings. If you believe a change of rating is warranted, be sure to notify the reviewing authority.

- 3. Discuss professional development and growth opportunities.**

After reviewing the assessment ratings, explore the



possibilities of professional development and growth opportunities.

Provide suggestions for improvement, when necessary, and decide together what can be done to resolve any challenges that may be hindering his/her success.

Be sure to inquire about any

immediate or future goals, such as training, certifications, licenses, degrees, etc., that the employee may have considered to help advance their career.

4. End the HEAR assessment on a positive note.

Express your confidence and support in the employee's work, abilities, and/or potential. Offer your assistance.

- #### **5. Release the assessment.**

You need to release the assessment in TMS for the employee to be able to sign and complete the review process.

notes

Performance Assessment Checklist

The checklist below outlines the steps for completing the HEAR assessment.

WHO:	Reviewee Supervisor Reviewing Authority
WHEN:	End of assessment period, or as scheduled
WHAT YOU'LL NEED:	Observation notes, HEAR plan, and assessment documentation, such as the Supervisor's Work Progress Meeting Form

DATE COMPLETED:	ACTION
	1. Review documentation and plan form; assign rating to SMART goals and behavioral factors.
	2. Complete reason for rating and provide any suggestions for improvement.
	3. Review overall assessment rating.
	4. Send to reviewing authority for signature.
	5. Schedule a meeting with employee to discuss the performance assessment.
	6. Supervisor releases plan to employee for signature.
	7. Employee signs the plan in TMS.
	8. Review moves to completed status.
	9. Reviews are kept in employee's TMS profile and score is updated to SAP overnight.
	10. Develop a new HEAR plan within thirty (30) days after completed review.

