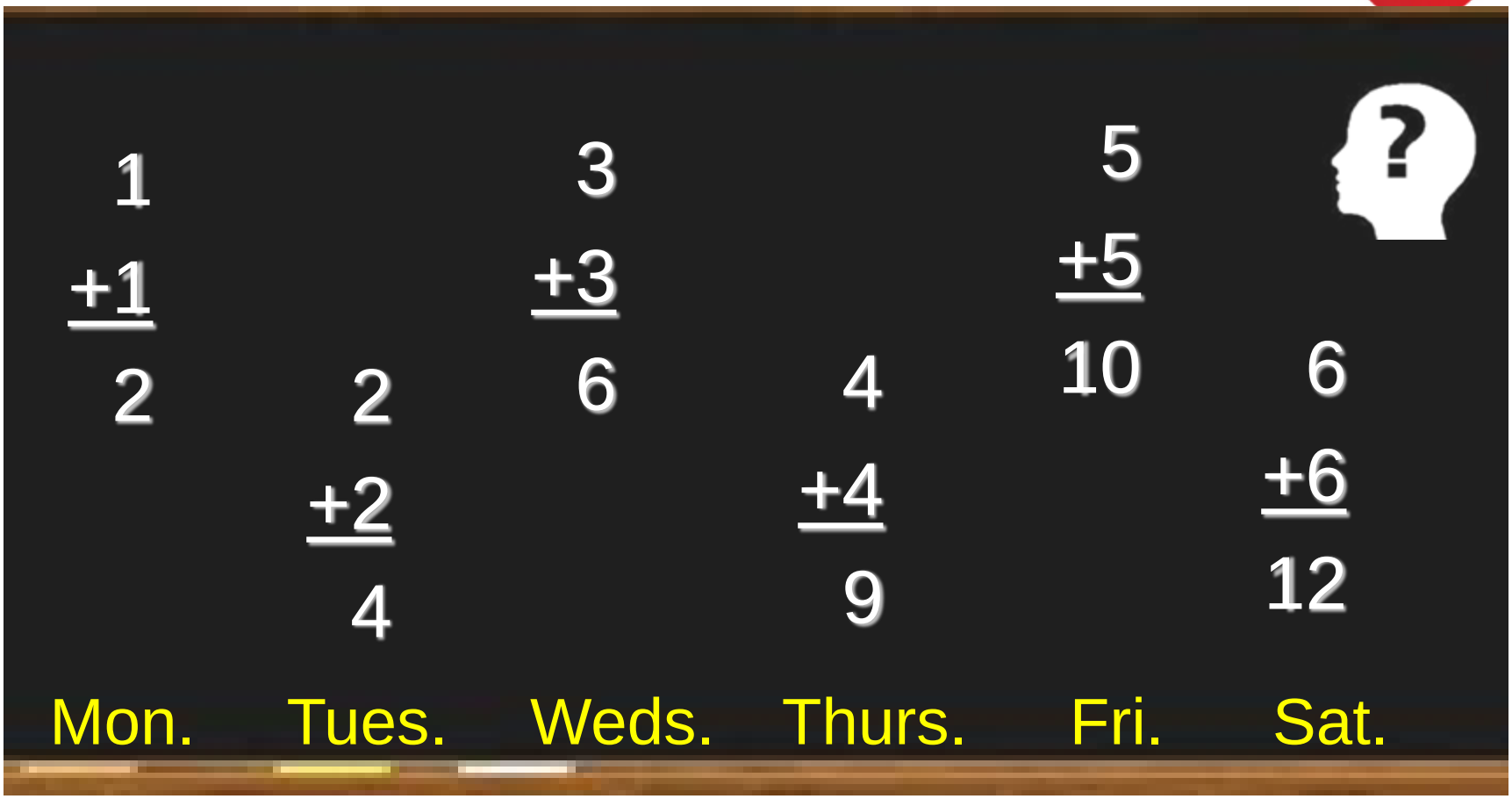
HOUSTON EMPLOYEE ASSESSMENT AND REVIEW (HEAR) PROCESS TRAINING for SUPERVISORS & MANAGERS

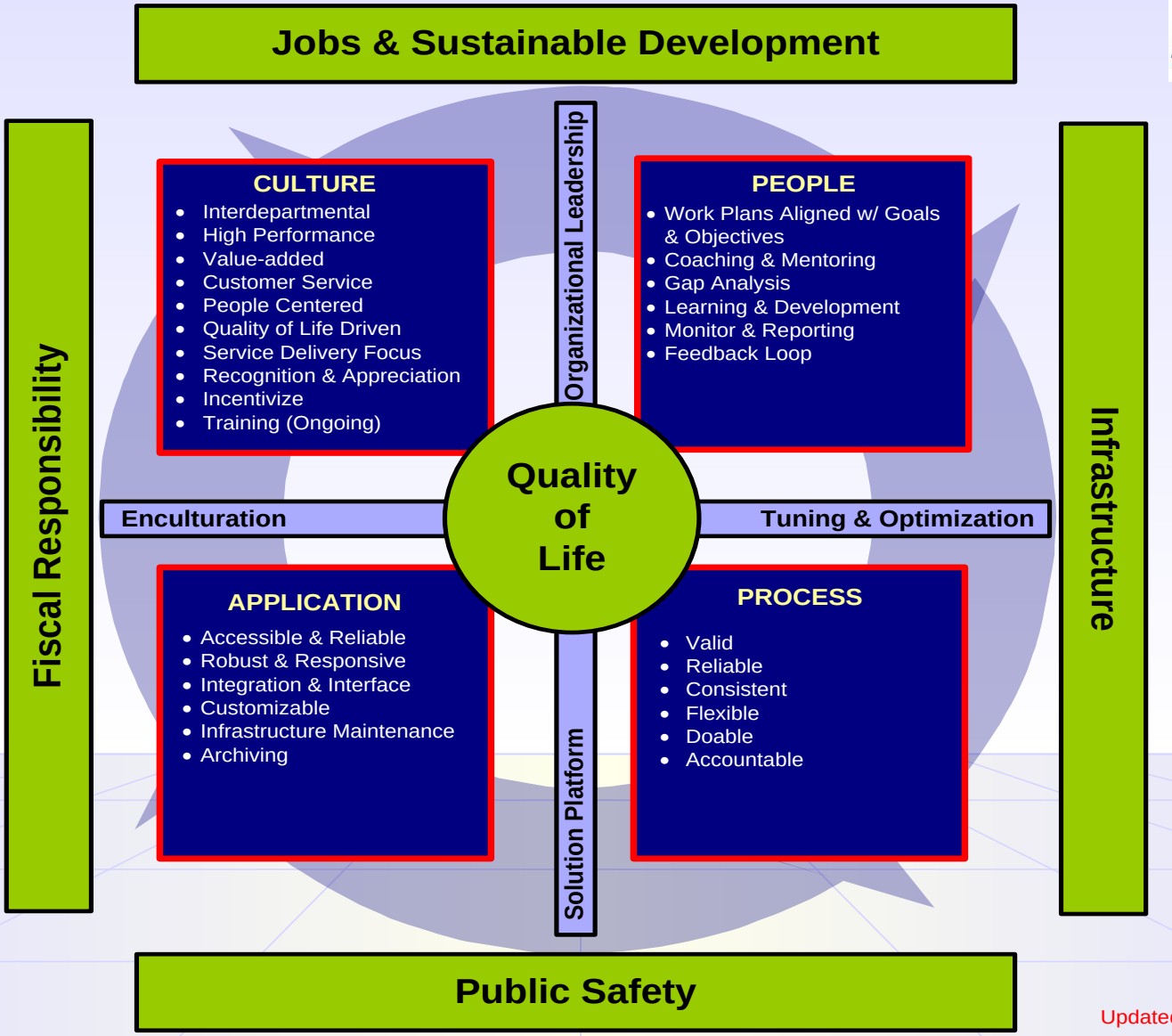
AGENDA

- Introduction & Contextual Framework
- SMART Goals
- Behavior Factors
- Coaching & Counseling
- Lunch
- Develop a SMART Goal
- Role-play Work Progress Meeting & Final HEAR Assessment
- Summary
- Questions and Answers

OUR REALITY!



Performance Management System Implementation – What Does HEAR Success Look Like?



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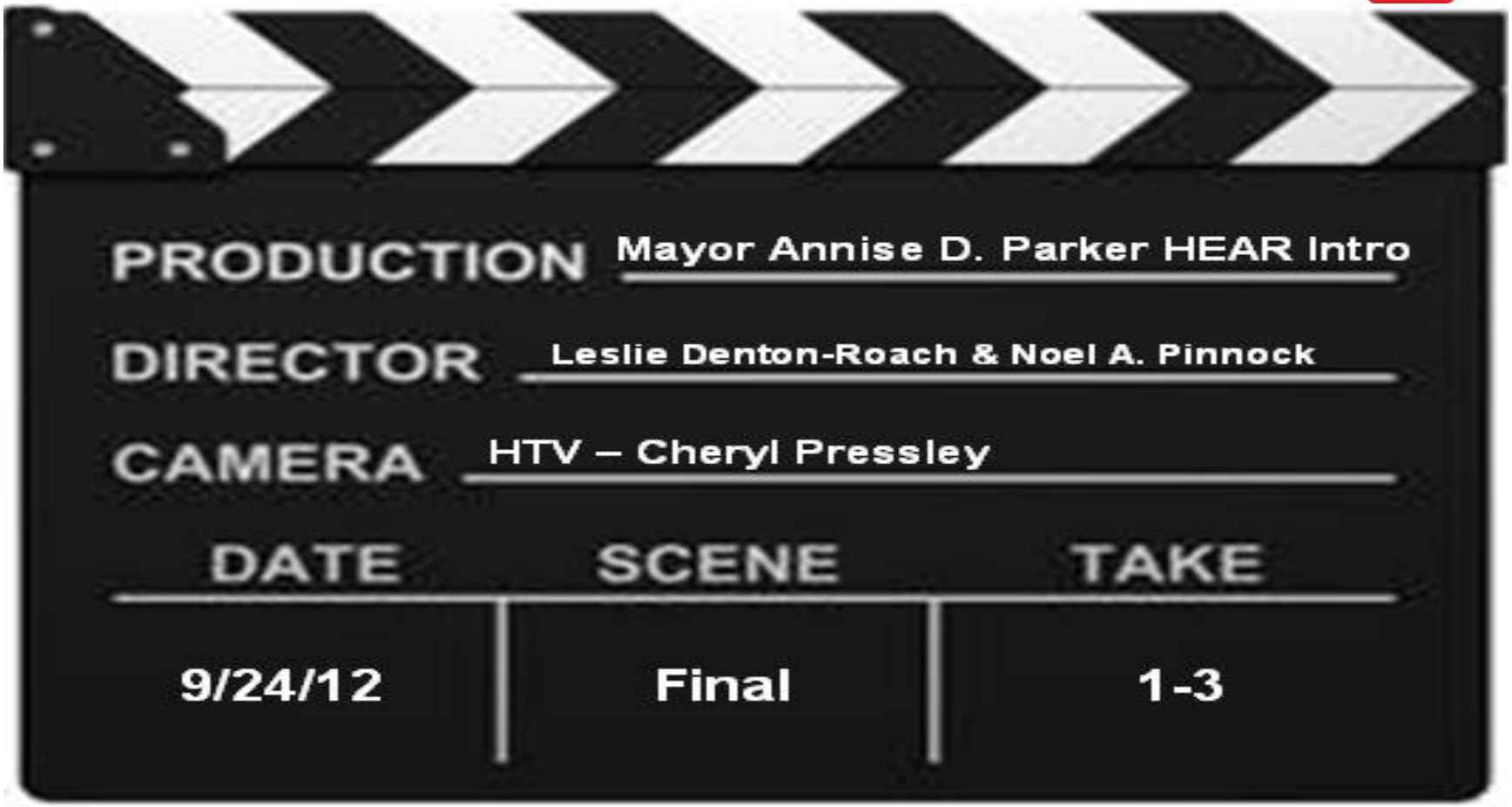
MAYOR ANNISE D. PARKER



NOTE: All participants should have successfully completed the HEAR WBT prior to enrolling in this class.

MAYOR ANNISE D. PARKER

CONT'D.

INTRODUCTION

- The **Houston Employee Assessment and Review (HEAR)** will provide employees, managers and supervisors the opportunity to plan for on-the-job success

- **HEAR** emphasizes a partnership between supervisors, managers, and their employees that supports a close collaboration regarding daily job tasks and responsibilities, departmental and organizational goals

INTRODUCTION

CONT'D.

- Additionally, **HEAR** will offer emphasis on **professional development** and **career goals** for employees

- The **HEAR** process provides more than the usual **rating** of an employee's job performance

- **HEAR** gives each employee, supervisor, and manager the ability to develop **HEAR** work plans together for individual and continued workplace success

VISION
GOAL
MISSION

MISSION

The **mission** of the **H**ouston **E**mployee **A**ssessment **and R**eview **(HEAR)** is to provide a fair and balanced approach to performance management that supports a **culture of high performance** by **developing** and **celebrating** employee **accomplishments** and **service**, and **contributions** to the **residents** of the City of Houston.

Vision

The vision for the HEAR project is to:

- **Educate** employees on the new process and future application
- **Establish** SMART performance measures, expectations, and developmental opportunities
- **Align** performance plans with departmental strategic goals and objectives
- **Promote** ongoing feedback between the employee and supervisor; and
- **Keep** the HEAR process simple and positive

GOAL 1

- **Improve employee performance**
  - **Objective 1**: Improve information related to EE* performance
  - **Objective 2**: Improve communications between EE and supervisor
  - **Objective 3**: Increase interaction (coaching) between EE and supervisor

* EE = Employee

GOAL 2

- **Improve management efficiency**
  - **Objective 1**: Re-engineer and improve business processes
  - **Objective 2**: Ensure citywide adoption and utilization of the new performance management system

GOAL 3

- **Create a positive city culture**
  - **Objective 1**: Provide timely communication throughout the HEAR lifecycle
  - **Objective 2**: Deliver effective training to all stakeholders
  - **Objective 3**: Respond to employees' questions and concerns

COURSE OBJECTIVES

There are several HEAR course objectives that include understanding:

- **Who HEAR is used for.** You will learn that the **HEAR Assessment** is used for municipal employees as well as classified supervisors and managers of municipal employees

- **What HEAR is used for.** You will learn that the **HEAR Assessment** is not simply a grading tool. **HEAR** is a tool you will use to create and define plans for your employee that aid in their success

- **How HEAR is used.** You will learn how to use the **HEAR Assessment** tool for consistency in its application

- **When HEAR is used.** You will learn the formal and informal time-based applications for the **HEAR Assessment** tool

- **Why HEAR is used.** You will learn how effective the **HEAR Assessment** tool can be for collaborating with your employees regarding their work responsibilities

CAN YOU
HEAR ME?

THE IMPORTANCE OF THE HEAR PROCESS

The HEAR process helps supervisors and managers in important aspects of an employee's service:

- **HEAR** will measure each employee's success using descriptions and criteria defined by job tasks and responsibilities
- **HEAR** will assure that tasks and responsibilities are accurate and achievable
- **HEAR** will provide opportunities for correction, coaching, and counseling support versus punitive measures as a first choice
- **HEAR** will offer support and focus on employee development and training when needed, and guidance for employees who are interested in career development

THE HEAR ASSESSMENT TOOL

The HEAR assessment tool has THREE major areas of emphasis. Supervisors, managers, and employees must work closely to determine if these areas are accurate and mutually agreed upon for the final **HEAR** assessment scoring:

- **SMART goals:** Are the employee's tasks and responsibilities SPECIFIC, MEASURABLE, ACHIEVABLE, RELEVANT and TIME-BASED?
- **BEHAVIOR factors:** Is the employee demonstrating competencies and abilities in other necessary and important areas of his or her work?
- **WORK Progress meetings:** Are all tasks and plans for success clearly documented?

Break
Time!!

WHAT IS A SMART GOAL?

Developing SMART goals simply means that you and your employee have defined one or more of the most important tasks that will be **reviewed** on their **HEAR** assessment. The **HEAR Assessment** tool will require that supervisors indicate at least one (1) and up to four (4) SMART goals to assess. To successfully develop these goals, they must be:

- **SPECIFIC**
- **MEASURABLE**
- **ACHIEVABLE**
- **RELEVANT**
- **TIME-BASED**

NOTE: SMART goals will vary in description and degree from employee to employee. The supervisor and employee should agree on the context of the task and the SMART goal descriptions for the final **HEAR** assessment.

THE BEHAVIORAL FACTORS

The **Behavioral Factors** are other specific criteria regarding your employee's observable and measurable engagement at work. These specifics will vary, but will reference the employee's particular skills, abilities, and performance levels. For example, some of the **Behavioral Factors** include:

- Analytical Skills
- Communication
- Ethics and Values
- Judgment
- Problem Solving
- Teamwork
- Safety and Security

NOTE: The **HEAR Assessment** will offer multiple selection choices. The supervisor and employee must select at least one (1) and up to four (4) that are most important and relevant to the employee's job functions. The supervisor and employee should agree on the **Behavior Factor** criteria used for the final **HEAR** assessment.

WORK PLAN SESSION

Supervisor and employee **Work Plan Sessions** set the tone for the success of SMART goals. When this **important step is done well**, both supervisor and employee understand the specifics of work expectations and how to achieve them.

WORK PLAN SESSION

CONT'D.

The **Work Plan Session** is a strategic component of the overall **HEAR** process that serves as the link between supervisor and employee that will:

- Guide and support the goals of the department and organization
- Require scheduling time with each of your employees to discuss various areas of the employee's responsibilities and development

NOTE: It is suggested that a minimum of 20 to 40 minutes be designated per session for careful and thorough consideration when outlining the purpose of the **HEAR** work plan and SMART goals.

WORK PROGRESS MEETINGS

The Work Progress Meeting is an opportunity to discuss:

- SMART goals
- Employee development
- Career goals
- Issues and concerns
- Any other relevant topics regarding the employee

NOTE: It is important that the supervisor and employee reach a mutual agreement on every aspect of the Work Progress Meeting.

COACHING AND COUNSELING

- **Coaching** and **counseling play** a significant **role** in an **employee's success** in reaching their SMART goal expectations. If the employee's tasks have been developed into **SMART goals**, and the employee is meeting the daily routine and process at work, there may not be any big challenges to address or correct

- However, some employees may **face some day-to-day issues that they feel require attention** and intervention from the supervisor, or that the supervisor determines must be addressed

COACHING AND COUNSELING CONT'D.

- Supervisors and managers must use their work experience and work ethic as well as training to judge every situation carefully; use skilled coaching and counseling methods to address employee and work concerns

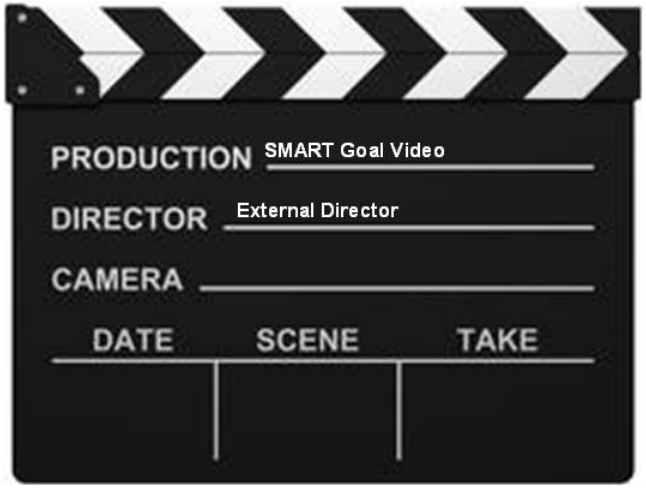
NOTE: Supervisors and managers must understand that the majority of issues should be managed successfully using coaching and counseling methods over punitive measures. Coaching and counseling should be presented in a **non-threatening and non-punitive manner.**

LUNCH TIME
SPECIAL

SMART GOALS: THE VIDEO

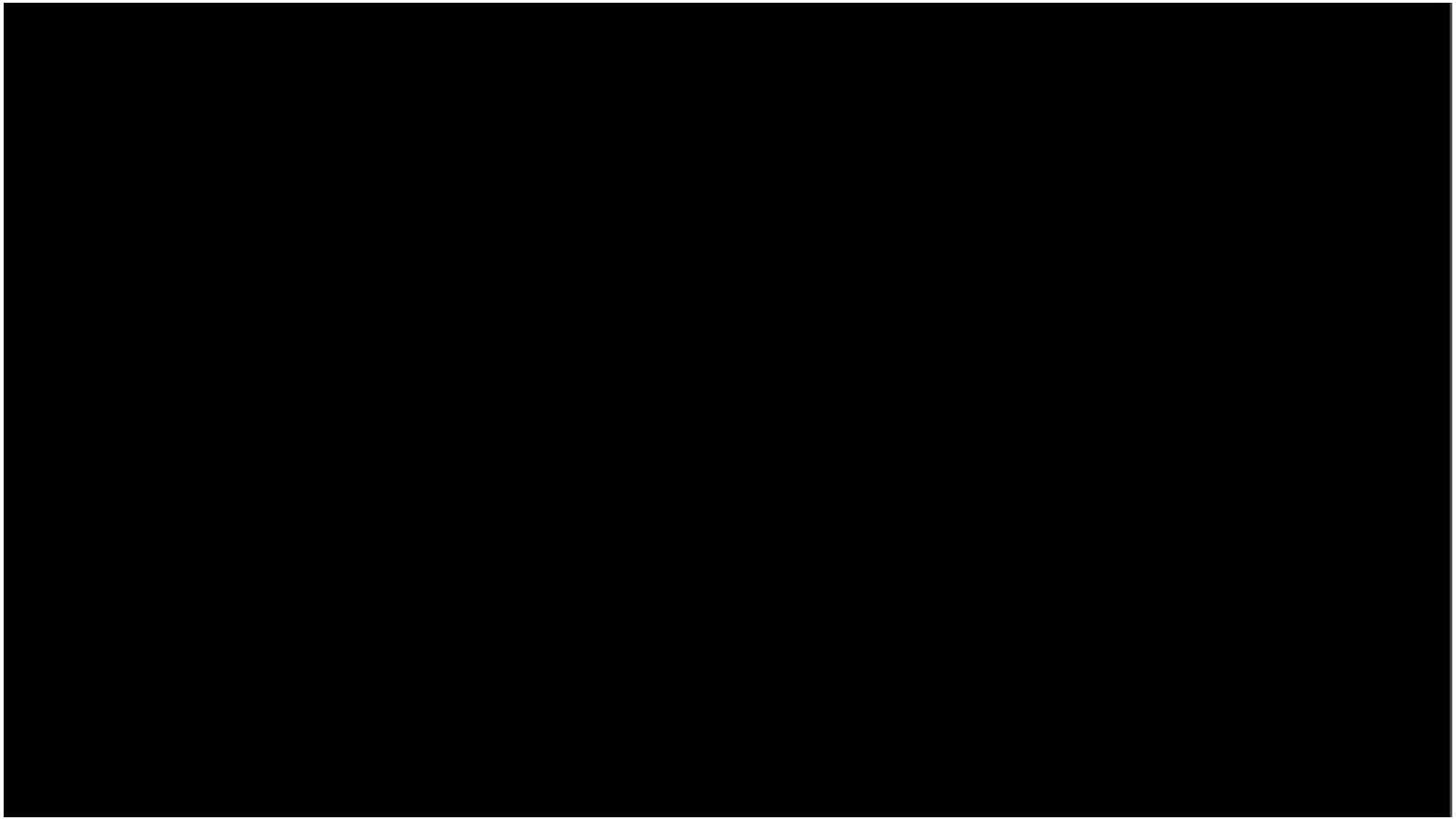
How will this strategy work for us?

IT'S SIMPLE!



SMART GOALS: THE VIDEO

CONT'D.



SIMPLE STRATEGIES FOR WRITING SMART GOALS

- Using your employee's list of tasks and responsibilities, you will develop at least **one (1)** and **up to four (4)** SMART goals that will be used to review employee performance on the **HEAR Assessment**

REMEMBER: Each goal will be SPECIFIC, MEASURABLE, ACHIEVABLE, RELEVANT, and TIME-BASED.

S: SPECIFIC

This step is simple. Choose an actual task or responsibility to be performed by the employee. The task or responsibility should be clearly and easily defined using the description from the employee's list of job duties.

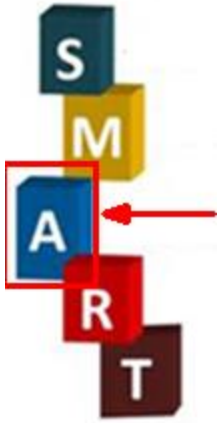
M: MEASURABLE

- **QUANTITY**: The **NUMBER, RATE, AMOUNT, MARGIN, PERCENTAGE,** etc., of the **PRODUCT or SERVICE** that is expected to be accomplished when the employee performs the task
- **QUALITY:** The **CHARACTERISTICS** of the task performed
- **TIME:** The **PERIOD, DURATION or TERM,** etc., involving the task or responsibility
- **COST:** The **BUDGET and FINANCIAL ALLOCATIONS** designated for the task or responsibility

NOTE: You must choose the **appropriate** measurement for defining each employee task or responsibility. It must be observable and/or verifiable.

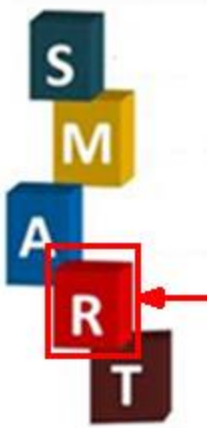
A: ACHIEVABLE

If the task is **ACHIEVABLE**, this means that the task or responsibility can be accomplished or completed by the employee. **Ask the following questions:**



- Does the employee have the knowledge, experience, and skills for the task?
- Does the employee understand and know the planning and steps it takes to get the task done?
- Can the employee manage the scope (i.e., the size, extent, or longevity) of the task?
- Does the employee have the necessary resources for the task?
- Is the task realistic enough to attain success within the agreed upon timeframe?

R: RELEVANT



The goal is relevant when the employee's tasks and responsibilities directly contribute to the mission and goals of the department and City of Houston organization.

T: TIME-BASED

The employee's tasks and responsibilities should clearly state a timeframe, deadline, or other time-based expectation in which the action, activity or behavior will take place.

just

another

example

SMART GOAL – GOOD EXAMPLE

Task: Return landscaping to original condition upon completion of water main repairs.

SMART GOAL: Return landscaping to its original condition on all job sites after completion of water main repairs and consistently receive zero (0) requests for additional repairs within any given month.

Sample: Public Works & Engineering

SMART GOAL – GOOD EXAMPLE

CONT'D.

Task: Answer customers' calls and address inquiries at first point-of-contact.

SMART GOAL: Consistently answer all customer inquiries at first point-of-contact, and receive no callbacks regarding the same inquiry within one-month's time. Receive less than five (5) calls per month.

Sample: Customer Service

SMART GOAL – GOOD EXAMPLE

CONT'D.

Task: Conduct instructor-led training for all classes scheduled.

SMART GOAL: Conduct an average of two instructor-led classes per week during the annual assessment period.

SMART GOAL – NEEDS HELP

CONT'D.

Tasks: Review, process and compile various accounting transactions (i.e., payment vouchers, petty cash, requisitions, purchase orders, etc.). Receive and distribute departmental mail.

SMART GOAL: Review processes and compile various accounting transactions daily. Receive and distribute departmental mail daily. Document adjustments and corrections on daily balance sheets. Maintain monthly accounting reports.

Sample: Finance & Accounting

SMART GOAL – NEEDS HELP

CONT'D.

Task: Make service calls to maintain and repair equipment.

SMART GOAL: Make service calls to maintain and repair equipment. Respond successfully to 100% of requests each day. Consistently have less than three (3) callbacks each month.

Sample: General Services

SMART GOAL EXAMPLES CONT'D.

NOTE: Once a SMART goal is defined on the **HEAR** work plan and agreed upon with your employee, additional breakdown of the goal is required to identify the success criteria that will be used for rating the final **HEAR** assessment.

SMART GOAL CRITERIA

NEXT STEP: We will now look at how to create **SMART goal criteria** for **HEAR** rating.

WRITING SMART GOAL RATING CRITERIA

- In the majority of cases, **SMART goals** will be reviewed for success using variables that describe whether the employee has met job expectations or not

- Some positions will have tasks and responsibilities that can be easily defined by a certain 'value,' while others will not. For example:

Task: Maintain safety and cleanliness of facility

SMART GOAL: Consistently maintain safety and cleanliness of facility daily.

SMART GOAL RATING CRITERIA

Supervisors and managers must determine each employee's level of success for each **SMART goal**. The **SMART goal** success criteria will determine if the employee:

- Ranks as exceptional regarding the goals and expectations required
- Exceeds the goals and expectations required
- Meets the goals and expectations required
- Ranks as below average regarding goals and expectations required
- Needs improvement regarding goals and expectations required

NOTE: The SMART goal scoring criteria will vary based on each employee's job tasks, responsibilities, job descriptions, and job requirements. This will be scored on the final HEAR assessment.

SMART GOAL RATING CRITERIA

CONT'D.

- **SMART goal rating criteria** is determined by the level of success placed on each SMART goal. For example:
  - **Exceptional**: Consistently maintains safety and cleanliness of facility and reviews and completes final checklist of safety and cleanliness guidelines daily. Double-checks all safety protocols before leaving each day. Replaces and upgrades minor equipment and supplies
  - **Exceeds expectations**: Consistently maintains safety and cleanliness of facility. Completes final checklist of safety and cleanliness guidelines daily
  - **Meets expectations**: Consistently maintains safety and cleanliness of facility and reports daily
  - **Below expectations**: All cleanliness and safety issues are maintained by the end of the day. Cleanliness and safety reports are not turned in daily
  - **Needs Improvement**: Facility is not being maintained consistently to meet cleanliness and safety requirements each day. Cleanliness and safety reports are not being turned in. Complaints have been filed about lack of cleanliness in the facility

RATING THE SMART GOAL

Each **SMART goal** must be rated according to the following values:

- **Exceptional = 5**
- **Exceeds Expectations = 4**
- **Meets Expectations = 3**
- **Below Expectations = 2**
- **Needs Improvement = 1**

DISCUSSION: Developing SMART goal success criteria.

SMART GOAL RATING FOR HEAR ASSESSMENTS

Supervisors must assign a rating to each of the **SMART goals** and Behavior Factors. **SMART goal** cumulative scores represent fifty percent (50%) of the total rating. Behavior Factors cumulative scores represent fifty percent (50%) of the total rating. When calculated, these scores will give the final **HEAR** assessment rating.

NOTE: The final score will be automatically calculated based on the selected ratings.

Break
Time!!

GROUP EXERCISE (15 Mins.)

Write a **SMART** goal and the five (5) **SMART** goal **success criteria** using one of your employee's job responsibilities. At your tables:

- Select a scribe and spokesperson
- Decide on one (1) job responsibility
- Write out the SMART goal and success criteria on the flipchart paper provided
- Share

Note: **Preparation** and **planning** is the key to success!

THE WORK PROGRESS MEETING

- **Work progress meetings provide opportunities to:**
- Ask employees for their input about their performance
- Use **coaching** and **counseling** techniques to offer feedback
- Offer positive feedback and support
- Ask for employees' ideas to improve performance when improvement is necessary

THE WORK PROGRESS MEETING

CONT'D.

- Solicit employees' ideas for solutions to problems
- Discuss progress toward professional development and growth opportunities
- Discuss progress toward professional development and growth opportunities
- Summarize points discussed and determine future goals for next meeting

NOTE: You may use the standard Work Progress Meeting forms for documentation.

HEAR ASSESSMENT SCHEDULE

Conduct HEAR sessions:

- During the 5th and 11th month of the employee's probationary period
- Annually for non-supervisors by **June 30th** of every year
- Annually for supervisors and managers by **July 31st** of every year
- During the 5th month following a promotion
- Whenever the employee changes supervisors or tasks
- At the supervisor's discretion, following a significant improvement or deterioration in performance

NOTE: Instances of correction, coaching, and counseling should be addressed throughout the HEAR assessment cycle to insure the employee is successful on the job.

HEAR ASSESSMENT SCHEDULE

CONT'D.

- **REMEMBER:** New employees should be given an **initial work plan** that guides the goals and objectives of the future work progress meetings.

- **All employees** must have written HEAR work plan within thirty (30) days of the following events:
  - Hire or rehire date
  - Beginning of the assessment period
  - Date of promotion

NOTE: Work plans are critical components in the HEAR process. It is important that employees have a clear and documented understanding of job expectations.

WHOSE ROLE IS IT?

Facilitate the **work progress meeting** and **HEAR assessment** scoring session. Each group will select two volunteers. Group decides between the work progress or final HEAR assessment meeting scenarios:

- **Audience**: (1) supervisor and (1) employee
- **Situation**: Poor performance
- **Discussion**: Redirect poor performance
- **Feedback**: Groups provide collective input

Note: Preparation and **planning** is the key to success!

SUMMARY

- A **positive** and **productive workplace** is one of the major goals of the new **HEAR Assessment**. Our success greatly depends on all **employees working together to meet goals** and **expectations** successfully

- Let's use this new **HEAR process** to move forward more **enthusiastically** and **more committed** to the **future** of the **City of Houston** and the **development** of **our workforce**. *We HEAR YOU!*

Questions & Answers

NOTE: Address all parking lot issues at this time!

HEAR

HOUSTON EMPLOYEE ASSESSMENT AND REVIEW