In this module, you will learn about two essential practices: the performance assessment and performance evaluation of the individual staff in your unit. Both assessment and evaluation are continuous processes, as well as discrete functions necessary to produce competent and confident caseworkers.

Starting with the agency mission, supervisors will learn how to develop job tasks, job descriptions, performance expectations, and performance evaluations. Additionally, strategies will be offered for conducting ongoing assessments and evaluations, as well as strategies for providing feedback throughout the assessment and evaluation processes.

AGENDA

INTRODUCTION

CHOOSING THE RIGHT WORDS

THE CONNECTION BETWEEN THE "JOB" AND AGENCY SUCCESS

PERFORMANCE EXPECTATIONS

ASSESSING PERFORMANCE

DOCUMENTING PERFORMANCE

EFFECTIVE PERFORMANCE FEEDBACK

PERFORMANCE EVALUATION

SUPERVISING BOTH ENDS OF THE PERFORMANCE SPECTRUM

SUMMARY, APPLICATION, AND CLOSING
Supervisor Core Module 4
Competencies

514-01-001: Knows the importance of formalizing performance expectations into clear, consistent and standardized job descriptions

514-01-002: Knows the importance of establishing challenging but attainable performance expectations for all staff

514-01-003: Understands how activities, performance expectations, and measures are derived from organizational mission and desired outcomes

514-01-004: Understands how clearly defined performance expectations can motivate high levels of staff performance and successful achievement of outcomes

514-01-005: Understands how organizational factors including poorly defined mission, unclear job roles and activities, lack of supervision, and shifting priorities undermine staff performance

514-01-006: Knows how to involve staff in identifying and establishing performance expectations and measures for their jobs

514-01-007: Knows how to create job activities, expectations, and performance measures that reflect mission-critical agency and unit outcomes and best practice standards

514-02-004: Understands the difference between deficiencies in knowledge and skill and deficiencies of execution, and how these interact to affect job performance

514-03-001: Knows the components of effective performance evaluation protocols and performance improvement plans

514-03-002: Knows the potential sources and types of performance information and outcome measures needed to identify and understand performance gaps

514-03-003: Understands the importance of engaging staff to collaborate in performance evaluation, and of completing evaluations within an ongoing, supportive, and developmental supervisor/supervisee relationship

514-03-004: Understands the importance of using predetermined, clearly defined, behavioral, and measurable, descriptions of desired job performance as the criteria for performance evaluation

514-03-005: Understands the personal and interpersonal factors that may increase both employees’ and supervisors’ resistance to completing performance evaluations
Choose your words wisely.

Your expectations will be clearer to staff, thus...

...a greater chance they'll achieve the results you want.

Vague vs. Ideal communication

Inappropriate (when describing communication)

Swears...

Resistant (related to taking instructions)

Misses deadlines...

Dismissive (related to interactions with supervisor)

Doesn't return phone calls...

Ideal

Vague

You always fail to follow through.

You are rude to people.
| **Agency Mission** | The purpose and goals of the agency: what it does, for whom, the reason why the agency does what it does, and how it accomplishes the goals. |
| **Agency Objectives** | Activities or areas of emphasis that support the agency mission. Provides a general framework for a more specific and/or detailed emphasis from individual units. |
| **Unit Mission** | Describes the purpose of the unit in terms of its unique role in fulfilling the mission of the agency. Clearly and effectively communicates what the unit does, for whom, why, and how it does it. |
| **Unit Objectives** | Statements that describe specific activities to be done in an effort to accomplish the unit mission, and thus, support the achievement of the agency mission. |
| **Individual Job Tasks** | Activities that must be done in order for the unit to fulfill its responsibilities. Although staff within a unit may have the same job tasks, they’re said to be “individual” because each staff member is held accountable for their successful completion. |
| **Individual Performance Expectations** | Quantifiable, observable, objective statements of what job tasks look like when they are done satisfactorily. |

Our mission is to protect children at risk of abuse and neglect by collaborating with families, service providers and members of the community.

Ensure swift and competent child protection for the community.

When necessary, children will be placed in the least restrictive environment appropriate for the child.

All alternative caregivers will be provided training and support to help them maintain a safe environment for children.

Monitor caregiver training needs, attendance and compliance.

The caseworker will monitor the caregiver training record, and review it with caregiver, a minimum of every six months.
Job Descriptions

- State the position and direct supervisor
- Detail job duties, tasks, and responsibilities associated with a position
- List necessary qualifications for the position (e.g., skills, training, education, abilities)

Job Description To-Do's

Review periodically for relevance and clarity
Ensure all staff have a copy
Review annually with staff to ensure understanding

GOALS

S - SPECIFIC: a clear, focused area for improvement
M - MEASURABLE: quantify goals to track progress
A - ACHIEVABLE: attainable within a period of time
R - RELEVANT: within a current skill set or area of expertise
T - TIMELY: established time parameters

Differential Response Practice Profile Booklet
Use Mager's Diagnostic Matrix (page 7) to determine why a staff person may be rated "below" the performance standard. Describe your analysis.

**Analyse the Performance Discrepancy**

**Intervention Strategies**

**Challenges or Non-Training Barriers to Performance**

**Feedback Statements**
Once you’ve determined staff are not performing to the standard, you must assess why.

Performance problems are like locks; solutions are like keys. You have to determine the type of lock you have before you can find the proper key to fit it.

**Diagnostic Matrix**

**Discrepancy of Knowledge**
Does the person not know how to do it?

**Discrepancy of Execution**
Does the person know how to do it, but is not doing it right for some other reason?

<table>
<thead>
<tr>
<th></th>
<th>DOES NOT Have the Knowledge and Skills</th>
<th>DOES Have the Knowledge and Skills</th>
</tr>
</thead>
<tbody>
<tr>
<td>DOES NOT Perform Task</td>
<td>Positively Reinforce with Close Follow-Up</td>
<td>Positively Reinforce</td>
</tr>
<tr>
<td>DOES Perform Task</td>
<td>Discrepancy of Knowledge</td>
<td>Discrepancy of Execution</td>
</tr>
</tbody>
</table>

Interventions for Knowledge Deficits
- Send staff to appropriate training, or provide on-the-job training
- Provide practice opportunities
- Provide feedback on performance
- Change the job wherever possible and appropriate
- Reconfirm the importance of the desired performance to the shared value system and objectives of the agency and unit
- Request a transfer or termination of staff if they do not have the potential to perform the job as required

Interventions for Execution Deficits
- Identify, remove, or minimize barriers to performance
- Minimize negative results for desired performance
- Remove or minimize rewards for undesired performance
- Balance with appropriate rewards for desired performance
- Add negative sanctions for undesired performance if possible
- Reconfirm the importance of the desired performance to the shared value system and objectives, and arrange appropriate consequences

NOTES

When documenting performance remember to be:
- Timely
- Objective
- Neutral
- Professional
Qualities of Effective Feedback

Strengths-Based Feedback

<table>
<thead>
<tr>
<th>Directive</th>
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</thead>
<tbody>
<tr>
<td>The supervisor takes the lead and tells staff what they're doing, why their behavior is an issue, and provides instructions on what staff should do.</td>
</tr>
<tr>
<td>Example:</td>
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</table>

<table>
<thead>
<tr>
<th>Non-Directive</th>
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<tbody>
<tr>
<td>A mutual conversation wherein the supervisor asks for the opinions of staff. The staff person takes the lead in identifying issues and creating a plan of action.</td>
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<tr>
<td>Example:</td>
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<table>
<thead>
<tr>
<th>Evaluative</th>
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<tbody>
<tr>
<td>Positive or corrective feedback given after an observation of your staff's performance. Communicates what was observed.</td>
</tr>
<tr>
<td>Example:</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Developmental</th>
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<tbody>
<tr>
<td>Positive or negative feedback given after evaluative feedback that expresses how undesired performance needs to be changed, or what desired performance needs to continue.</td>
</tr>
<tr>
<td>Example:</td>
</tr>
</tbody>
</table>

For the Next Time
Using the information about Direct and Non-Direct Feedback, develop a strategy for conducting a conversation with one of your staff regarding performance issues.
Avoid the use of dismissive words like "however," "but," and "although" when providing feedback.

**VISUALIZE YOURSELF...**

...providing Evaluative and Developmental feedback to the staff person in the last activity.

**How can you prepare yourself?**

**How might you feel?**

**What might challenge you?**
List all of the times you provided feedback to your staff your last day in the office.

Was feedback offered to every staff member? Why or why not?

Do you think enough feedback was offered? Why or why not?

When providing feedback...

- Maintain and enhance staff's self-esteem by being respectful and showing they are valued
- Listen actively and respond to staff with concern
- Ask for the opinions of staff and encourage their involvement
- Share honest thoughts, feelings, and rationale
- Provide support to staff without removing their responsibility

How will I do this?
Because resistance is an emotional process, logical problem solving will not work to resolve it.

Remember, staff defensiveness and resistance does not necessarily imply a personal attack on you.

Examine the manner in which you communicate and provide feedback.

ASK YOURSELF:
Am I tense?
Am I angry?
Am I frustrated?
Does my tone of voice, facial expressions and/or body language match my words?

ASSESS YOURSELF:
Am I tense?
Am I angry?
Am I frustrated?
Does my tone of voice, facial expressions and/or body language match my words?

Strategies for Managing Resistance

- Avoid trying to give logical explanations or offer solutions.

- Deal with the emotions first.

- Identify what form the resistance is taking.

- Listen to the words and to the underlying message: “I am angry at being called on the carpet,” or “You don’t understand my situation.”

- State in a neutral, non-punitive way the form the resistance is taking. Then, focus on the feelings of staff, not the content. “You seem angry (or frustrated). Tell me why.”

- Remain silent. Let staff respond to the feedback. This gives staff an opportunity to express their concerns or feelings.
Assessment—
The ongoing process of observing and appraising staff performance

Analysis—
Examining performance to pinpoint where problems may occur

Evaluation—
A formal report about performance on job tasks as revealed by the analysis

The Annual Performance Evaluation Should Include:
- General information about the staff person (name, position)
- Evaluation period
- Name of supervisor
- Definition of ratings
- Rating question for each job task
- Personal attributes
- Composite score
- Review and rating of previous goals
- Goals for the next evaluation period
- Performance improvement plan (may be a companion document)
- Individual development plan (may be a companion document)
- Space for staff, supervisor, and administrator comments
- Staff, supervisor, and administrator signature and date

Goals of an Annual Performance Evaluation
- Provide an objective appraisal of staff's total job functioning over a one year period
- Identify staffs' areas of strengths and weaknesses in their assigned job duties
- Give strengths-based feedback to staff about their performance in relationship to job expectations
- Clarify agency expectations, policies and procedures as needed
- Develop a plan to address staff's training and professional development needs
- Motivate staff
Typical Steps in the Progressive Discipline Process

1. Talk with staff about their performance and ascertain their understanding of the job requirements.

2. Resolve the issue if possible.

3. Explain the performance standard and give staff a reasonable amount of time to comply.

4. Inform staff of the consequences if they fail to comply.

5. Provide a verbal warning, and document it in the staff’s personnel file.

6. Provide a written warning, and place a copy in the staff’s personnel file.

7. Recommend a suspension without pay.

8. Recommend termination.

When to Begin the Progressive Discipline Process

- When staff’s work begins to suffer, or if you ever suspect you might need to recommend termination for someone due to poor performance.

- When you’ve exhausted the usual forms of intervention with staff and are still not seeing the necessary level of job performance.
Top performing staff that consistently perform their job tasks well will likely have no discrepancies of knowledge or execution, nor will they present a need for progressive discipline.

Top performers however, do require supervisory attention, encouragement, and support to ensure this continued level of performance.
I regularly link the mission-critical importance of our work to the conversation I have with staff regarding cases, unit objectives, job tasks, and individual performance expectations.

During individual conferences with staff and in unit meetings, we talk about what the agency is trying to accomplish and how individual staff and the unit are contributing to that goal.

I know the individuals in my unit: who they are; what they bring to the table; their strengths, talents, skills, and abilities. I individualize my supervision to support the needs of each staff person.

I use a strengths-based approach with staff and try to use the least amount of direction needed to ensure staff performance.

I regularly offer attention, support, and encouragement to each my staff, whether they are the most challenging, the least competent, or the top performers.

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**QR Code Links**


Quick Reference Chart for Analyzing Performance Problems (pg. 7) [http://qrs.ly/rm5mp0j](http://qrs.ly/rm5mp0j)
Based on the content of this module, I see my strength as:

Based on the content of this module, I will need to do the following in order to be more effective with my staff:

One concrete action step I will take when I return to the workplace.
There is a set of fundamental supervision and management knowledge and skills needed in order to be an effective supervisor. Whether on the job for two months or several years, these concepts should be regularly reviewed by a supervisor and their manager in order to achieve a high level of supervision.

**How to use Training Transfer Indicator's (TTI's):** Following Supervisor Core Module IV, use the TTI's during supervision with your direct supervisor as a way to discuss what you learned and to assess your understanding of the knowledge and skills taught in this module. The TTI's will help you further develop your skills in these fundamental areas.

<table>
<thead>
<tr>
<th>Training Transfer Indicators</th>
<th>Plan for Further Development</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>TOPIC: Assessing Performance</strong></td>
<td></td>
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<tr>
<td>Describe ways you will gather information about staff performance.</td>
<td></td>
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<tr>
<td>What is the link between assessing staff performance and agency mission?</td>
<td></td>
</tr>
<tr>
<td><strong>TOPIC: Determining Reasons for Individual Performance Gaps</strong></td>
<td></td>
</tr>
<tr>
<td>Describe a performance gap of a worker in your unit that is a result of an organizational barrier.</td>
<td></td>
</tr>
<tr>
<td>Describe a performance gap of a worker in your unit that is the result of lack of knowledge and/or skills.</td>
<td></td>
</tr>
<tr>
<td>Describe a performance gap of a worker in your unit that is the result of a lack of motivation or commitment.</td>
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</tr>
<tr>
<td>Training Transfer Indicators</td>
<td>Plan for Further Development</td>
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<tr>
<td><strong>TOPIC: Creating Performance Objectives</strong></td>
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</tbody>
</table>
Describe a performance objective of a worker in your unit that is specific, measurable, achievable, relevant and timely. | |
| **TOPIC: Completion of Individual Annual Performance Evaluations** | | 
How do performance evaluations contribute to an agency’s mission? | |
Describe the process you will use to complete your staff’s annual performance evaluations. | |
| **TOPIC: Providing Effective Feedback** | | 
Describe a recent example of face-to-face feedback you provided to a worker that was strengths-based, specific, and timely. | |
| **TOPIC: Progressive Discipline** | | 
What does progressive discipline mean? | |
Describe how you will use progressive discipline in your unit. | |
| **TOPIC: Supervising Top Performers** | | 
List three strategies you will use to supervise your top performers. | |