

DEPARTMENT OF MILITARY AFFAIRS
STATE HUMAN RESOURCES
PRACTICE AND PROCEDURE MANUAL

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PAGE: 1 of 7

SUBJECT: Performance Evaluation

SECTION: Employee Services/Programs

I. OVERVIEW

Reference: Wis. Stats. 230.37(1), Wisconsin Administrative Code Chapter ER 45, and Wisconsin Human Resources Handbook Chapter 460. Goals: facilitate two-way continuous communications between the supervisor and the employee, to establish realistic job standards, objectively evaluate employee job performance, and develop employees to achieve enhanced job performance and satisfaction.

It is the supervisor's responsibility to establish and plan programmatic priorities, which includes individual employee assignments and work standards necessary to meet operational needs. In doing so, the supervisor must identify and clearly communicate to individual employees the specifics of the assignments and the expectations of the end result(s). Supervisors should engage employees on an on-going basis to discuss successes and failures and reinforce and adjust expectations when necessary. State Human Resources (SHR) recommends supervisors document these efforts to demonstrate clear direction is provided and to carry forward those expectations onto the formal, annual performance evaluation.

SHR recommends employees seek clarification of assignments and expectations and raise concerns about such, when necessary. Employees are encouraged to prepare for the performance evaluation discussion by reviewing assigned goals and expectations, identifying accomplishments and challenges, and identifying possible training and resources that may enhance future performance.

II. POLICY

- A. In accordance with above reference, supervisors are required to formally evaluate the performance of their assigned employees at least annually. The department's annual performance evaluation cycle is from June 1 to May 31. State Human Resources (SHR) will send a notice to all supervisors in April of each year as a reminder to complete performance evaluations of work performed the preceding year. This notice will include a deadline for accomplishing such.
- B. Supervisors who do not complete formal performance evaluations on all subordinate employees within the previous 12-month period are ineligible to receive Discretionary Merit Compensation (DMC) or any scheduled annualized General Wage Adjustment (GWA) unless otherwise stated in the State Compensation Plan. Likewise, all Merit Criteria DMC recommendations for employees must show that the employee has had a performance evaluation in the past twelve (12) months. Absence of such will render the employee ineligible for Merit Criteria DMC.

- C. Supervisors who do not complete performance evaluations will be identified as non-compliant with the aforementioned regulations. SHR will utilize the appropriate level in the supervisor's chain-of-command to report non-compliance. SHR will notify the AG's Executive Assistant identifying those military supervisors who fail to complete evaluations for their assigned state employees.
- D. Supervisors must use the department's Performance Evaluation Form DMA 35 for documenting employee performance evaluation and employee development information. Unless the purpose of the evaluation is to document a formal Performance Improvement Plan (PIP), SHR will not accept alternative forms.
- E. Implementation of a PIP must be coordinated with and approved by the Director of SHR. If there is no formal performance evaluation on file for the employee from the preceding year, SHR will not approve a PIP. The evaluation must sufficiently demonstrate unsatisfactory performance. If warranted and following approval by SHR, SHR will provide assistance to the supervisor to create and implement a PIP tailored to the specific position/employee and the steps necessary to meet standards.

Probationary Evaluations: All original and all promotional appointments to permanent, sessional and seasonal positions, with the exception of those positions designated as supervisor or management under s. 111.81, in the classified service shall have a probationary period of one year, but the director, at the request of the appointing authority, may extend any such period for a maximum of 12 additional months (230.28). Formal performance evaluation reviews must be completed prior to the end of the probationary period. Supervisors will formally evaluate those employees quarterly who are serving a probationary period. An employee shall receive at least one (1) formal performance evaluation review during a permissive probationary period, even when a portion of the permissive probationary period is waived. If a probationary employee was evaluated on or later than March 1, an annual evaluation is not required for that year.

Interim Evaluations: Interim evaluations can be conducted at any time during the year, as deemed necessary by the supervisor. Examples of use include instances where a change in the position occurs such that new or modified assignments and standards are introduced; and where immediate attention is necessary to address less than satisfactory job performance and more frequent than annual evaluation is appropriate.

III. PROCEDURES

- A. Establishing Key Job Areas/Goals and Standards
 - 1) Prior to meeting with an employee to share Key Job Areas/Goals and Standards, a supervisor should spend time planning for what those goals and standards will be for the next annual review period. Key Job Areas/Goals can be developed from the goals on the employee's position description, strategic plans, or projects/initiatives the employee may be involved with or assigned. Supervisors should typically identify between 3 - 4 goals each evaluation period. The goals must be documented on the DMA Form 35 in the section entitled Key Job Areas/Goals.
 - 2) Several standards should accompany each Key Job Area/Goal. The standards must be realistic, specific, and measurable. The standards must indicate the results required to be

deemed satisfactory. Supervisors should give some thought and be prepared to answer employee questions as to what the standards are for exceeding the satisfactory, “meets standards” benchmark. Supervisors may have the employee assist in developing these standards. The standards must be documented on the DMA Form 35 in the section entitled Standards.

- 3) Standards may include factors that can be quantified. For example, a specific number of tasks accomplished within a specific period of time (e.g. daily, weekly, monthly, etc.). Or, those associated with financial savings (e.g. decrease in programmatic costs owing to an employee’s work performance by way of efficiency or value added programmatic contributions).
 - 4) Standards may include factors associated with the quality of the work product or service rendered (e.g. rate of error, compliance with regulations, tangible improvements made to products, methods, public service delivery, etc.).
 - 5) The Affirmative Action Report section of DMA Form 35 must be completed for evaluations of all DMA supervisors and managers. The purpose of this section is to document job performance and employee development relating to matters of Affirmative Action, Equal Employment Opportunity, and Civil Rights Compliance. Examples include pursuing diversity of participants in selection processes, creating/fostering positive work environments, preventing or effectively dealing with conflict and harassment in the workplace, demonstrating cultural competency, understanding the value of and pursuing diversity in the workplace, etc.
- B. Rating Criteria for Evaluation: The following, five-point rating scale with definitions, will be used to grade performance against established standards, for each Key Job Area/Goal, as well as for the employee’s Overall Evaluation.

- **5 points – Exceptional Performance:** Performance is outstanding in all goals and significantly exceeds standards and department expectations. The employee has sustained a high level of performance and the results of such have significant benefit to the program, work unit, or department.
- **4 points – Exceeds Standards:** Performance is satisfactory in all goals and exceeds in one or more areas. The employee has taken the initiative to accomplish additional activities beyond the goals and standards originally established consistent with department expectations.
- **3 points – Meets Standards:** Performance is satisfactory in all goals. The employee has successfully achieved set goals and standards necessary to meet operational needs consistent with department expectations.
- **2 points – Needs Improvement:** The employee needs improvement in one or more areas to meet minimum standards.
- **1 point – Unsatisfactory:** Performance does not meet goals, standards and department expectations. A formal performance improvement plan will be engaged.

- 1) The Overall Employee Evaluation will be based on the ratings provided in each Key Job Area/Goal and the Department Performance Expectations.
- 2) Supervisors should provide adequate detail in each Results/Evaluation section of the form, identifying the standards that the employee has met or exceeded with examples of successful performance.

- 3) Supervisors are required to include documentation when performance fails to meet standards such that an employee is graded below “Meets Standards” in Key Job Areas/Goals. Documentation must include the specific standards that were not met, examples of the failing performance, and a plan for performance improvement. Interim evaluations may be warranted in these instances.
 - 4) If an employee is graded as “Unsatisfactory”, a formal performance improvement plan will be engaged and supervisors must contact the Director of SHR . Please see II.E above.
 - 5) When an employee fails to meet overall standards, the “Summarize Employee’s Overall Job Performance” section must include details regarding failures and a plan for improvement.
- C. Department Performance Expectations: In addition to the Key Job Areas/Goals standards established for the employee, there are six (6) categories of overall Department Performance Expectations, as seen below, with examples of expectations. DMA Form 35 provides a scale with definitions for grading performance in these areas. While these expectations were developed for all department employees, there may be expectations that won’t apply to a particular employee’s position or job duties.
- 1) Accountability
 - Delivers quality products or services independently and consistently.
 - Demonstrates competence and expertise in program area.
 - Demonstrates excellent organizational skills and effectively balances priorities.
 - Adapts to change, accepts new ideas, and points out own errors/deficiencies.
 - 2) Communication
 - Uses constructive and appropriate written communication, including email and other documents.
 - Uses constructive and appropriate oral communication with internal and external customers, this includes responding to questions, delivering feedback and providing guidance.
 - Communicates ideas and responses clearly, concisely, and professionally.
 - Actively listens and respects others who are speaking.
 - Recognizes and adapts to communication styles of others.
 - 3) Customer Service
 - Demonstrates an understanding of appropriate interaction with all customers.
 - Provides timely, thorough and informative responses to all customers.
 - Anticipates and meets customer needs.
 - Creates positive and professional interactions with all customers.
 - 4) Diversity
 - Demonstrates respect for others regardless of race, creed, age, gender, sexual orientation, disability, religion, national origin, etc.
 - Values differing viewpoints and opinions.
 - Actively seeks out/incorporates diversity into decision making processes.
 - Encourages and supports a diverse and inclusive working environment.
 - 5) Innovation and Excellence
 - Seeks and implements process improvements and change management.
 - Conducts research and analysis to create efficiencies and best practices for accomplishing work activities.

- Anticipates problems and develops strategies to address deficiencies.
 - Uses creativity in resolving complex and sensitive issues affecting the department.
- 6) Leadership and Team Work
- Demonstrates a positive attitude and integrity while providing service.
 - Builds trust and confidence in working relationships through honesty and commitment.
 - Recognizes strengths and weaknesses of self and others and collaborates accordingly.
 - Provides support and guidance to co-workers and management.
 - Is routinely sought out for advice on technical and non-technical matters.
- D. Methods of Measurement: The methods of measurement that a supervisor uses to evaluate and grade performance, against established goals and with the use of objective standards, are critical in producing a reliable and useful evaluation.
- 1) It is not realistic for a supervisor to reflect upon a year's worth of work performance and arrive at an accurate evaluation. It is critical that supervisors identify methods for monitoring work performance throughout the year and create and maintain documentation when there is an absence or inadequate amount of information available elsewhere (e.g. reports, records, tangible work products, etc.).
 - 2) Supervisors should make a commitment to document performance on a regular basis (e.g. weekly, monthly, upon critical project deadlines, etc.). The supervisor must find ways to identify, produce, and maintain evidence of work performance to justify evaluation conclusions.
 - 3) Specific details of successes and failures acquired throughout the evaluation period will be necessary when completing the evaluation form and required when an employee is graded below "meets expectations".

IV. Information Prohibited in Performance Evaluations

- A. There are certain types of information that are not appropriate in a performance evaluation and they include:
- 1) Issues or characteristics that are not related to the duties of the position.
 - 2) Work rule violations and disciplinary matters.
 - 3) Personal or medical information including references to leave of absence and Family Medical Leave.
 - 4) Accommodations as prescribed under the Wisconsin Fair Employment Act and the Americans with Disabilities Act.
 - 5) Anything related to protected characteristics under the Wisconsin Fair Employment Law or other state and federal regulations. This includes race, color, creed, ancestry, national origin, age, sex/gender, handicap or disability, arrest or conviction record, marital status, sexual orientation, military service, or use/nonuse of lawful products off employer's premises during non-work hours (e.g. tobacco, alcohol).

V. Performance Evaluation Meetings

- A. Following SHR notice that performance evaluations are to begin, the supervisor should schedule the performance evaluation meeting with the employee. There are typically two parts of the

performance evaluation meeting—to review and evaluate the employee’s performance for the current evaluation period and to set individual goals and standards for the next evaluation period. It is not required these two discussions occur at the same meeting. A supervisor may wish to schedule two separate meetings.

- B. Prior to the meeting, the supervisor must complete the Results/Evaluation and Department Performance Expectations sections of the DMA Form 35. In addition, the supervisor must complete the Summary section, describing overall performance of the employee for the designated evaluation period and identifying future training and development activities.
- C. The supervisor should include training and development activities that will be required for the employee during the next evaluation period in situations where the employee must improve performance in one or more key job areas. If performance meets standards, the supervisor may provide suggestions for training and development activities which would assist the employee in exceeding standards. Additionally, and with input from the employee, career advancement or job enrichment goals may be included in this section. Examples of such may include an employee’s interest in cross training, advancing with the unit, pursuing training that would assist them in promotional opportunities, etc.
- D. During the meeting, the supervisor should review the documented results with the employee. The supervisor should allow the employee to comment on their own performance, which includes providing written comments. The supervisor can update the DMA Form 35 after the meeting with the employee if additional documentation is needed in describing the employee’s accomplishments or performance.
- E. The supervisor and the next highest supervisor must sign the completed DMA Form 35 and the employee should also sign indicating that the evaluation has been discussed with them. If an employee chooses not to sign their completed performance evaluation, the supervisor should note that on the form. The supervisor must make a copy of the completed performance evaluation for the employee and for their own supervisory records. Completed performance evaluation forms must be forwarded to SHR for placement in the employee’s official personnel file. SHR will coordinate an annual submittal process for all completed performance evaluations to ensure supervisors have completed all required evaluations.

New Employees: For newly hired employees, there must be a meeting as soon as possible following the employee starting for the purpose of communicating work goals and standards. Doing so is important for the new employee, as well as the supervisor. Without this communication, there will be an absence of goals and standards necessary for conducting future performance evaluations, be it for probationary or annual evaluations. The DMA Form 35 may be used to document the goals and standards.

Supervisory Changes: Supervisors that are new to the unit should meet with individual employees to discuss their goals and expectations, especially if they differ from the prior supervisor. Out-going supervisors should ensure that the most recently conducted performance evaluations are an accurate reflection of the nature of performance within the unit to provide situational awareness to the in-coming supervisor. Consideration of Interim Evaluations, as noted in Section II, may be warranted.

VI. Position Descriptions

As part of the performance evaluation process, supervisors should review and, if necessary, update employee position descriptions to accurately reflect assignments and time percentages. Supervisors may seek input from employees regarding the accuracy of position descriptions. Supervisors are welcome to seek assistance from their assigned Human Resources Specialist for assistance in updating position descriptions. A properly submitted position description will include accurate completion of the position description cover page, employee and supervisory signatures, and employee and supervisor initials and dates on all other pages. Updated position descriptions can be attached to the performance evaluation when submitted to SHR. Or, they can be submitted to SHR shortly thereafter.

Supervisors should direct questions regarding the policies and procedures to their assigned Human Resources Specialist.

Attachment: DMA Form 35 (Revised April 2018)