
Employee Performance Management Process

August 2012

Employee Brief: Your Self-Assessment

**This brief is provided to help document your self-assessment
and think about your 2011-12 performance.**



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PURPOSE

The purpose of this document is to:

- Provide instructions for completing your self-assessment
- Help you understand the rating process
- Supply tips on how to best document your performance to show the impact of your contributions over the past year



Note: The Self-Assessment must be completed by anyone with more than 6 months service by August 27th. Employees with at least 90 days of service are encouraged to document accomplishments and key learnings as a basis for goal-setting

Key Dates

- Employees submit self-assessments to managers: by Aug 27
- Managers complete draft evaluations: by Sept 9
- Department norming process*: Sept 11 – Sept 19
- Senior Leadership Team review: Sept 24
- Performance evaluation meetings: Sept 25 – Oct 12

Resources

Website: http://hr.dpsk12.org/performance_forms

Contact your manager, HR Partner, or a member of the EPMP team at dpsepmp@dpsk12.org. You can reach EPMP Manager Pam Tanner directly at pamela_tanner@dpsk.12.org.

*What is a Norming Process?

The norming process facilitates consistency and fairness in overall performance ratings within and across departments. It includes the following steps:

- Senior Leadership Team meeting to discuss and norm ratings for their direct reports.
- Each Senior Leadership Team member cascades a norming process within their organization.
- The distribution of performance ratings across managers is reviewed by department leadership.
- A final review is conducted by the Senior Leadership Team.

HOW TO GET STARTED (EMPLOYEES)



INSTRUCTIONS

Employee Self-Assessment

1. Review this brief for detailed instructions on how to document your self-assessment, guidance on how to think about performance, and examples of documentation.
2. Copy your goals for 2011-12 into the 'Individual Goals' section of the form.
 - If you do not have documented goals, document your actual results in the 'Results' boxes.
 - You do not need to backfill 'Goal Statements' or 'Performance Indicators', but reference appropriate performance indicators in documenting results.
3. If you identified any 'Additional Performance Factors' or areas of focus for 'Success Factors' or 'People Management' at the beginning of the year, copy those into the appropriate section of the form.
4. Document your assessment of goal achievement and impact in the 'Employee Comments' fields for each goal; success factor; people management section and additional performance factors (if applicable).
5. Be sure to complete all applicable sections of the form. You can provide overall comments on your performance on the Year-End Performance Summary page; it is optional. The rest of the form, including your comments on the performance review and signatures, will be completed in your Performance Review session.
6. Save a copy of your self-assessment on your computer or in a network folder.
7. Complete your self-assessment by emailing it to your manager **by August 27, 2012.**

HOW TO GET STARTED (MANAGERS)



INSTRUCTIONS

Manager Evaluation

1. Review the performance evaluation form for instructions regarding how to document your evaluation.
2. For each section of this performance evaluation form:
 - a. Review the employee's self-assessment.
 - b. Document your evaluation in the '**Manager Comments**' fields. Build upon the employee's self-assessment and/or note, specifically, any areas where your evaluation differs from the employee's assessment and why.
 - c. Apply a performance rating in the '**Manager Ratings**' fields using the specific rating scale for each section.
3. Be sure to complete all applicable sections of the form. The rest of the form, including the employee's comments on the performance review and signatures, will be completed in the Performance Review session.
4. Complete a draft of all Employee Performance Reviews by September 10 for norming sessions to be conducted September 11-19. Your department head will provide more details regarding the time and location.
5. Once norming sessions have been held and ratings finalized by the Senior Leadership Team, meet with your employee to hold a Performance Review and Goal Setting Session between September 25 and October 12.
6. In the Performance Review and Goal Setting Session, discuss the employee's and your views on the employee's performance. Provide the employee an opportunity to write comments in the Year-End Performance Summary.
7. Print and sign the finalized performance review. Be sure to get the employee's signature as well.
8. **By October 31, please print and interoffice mail the completed performance review to: Pam Tanner, Human Resources, Room 501, 900 Grant Street.**

THE PERFORMANCE RATING PROCESS

Based on feedback that it was difficult to apply the overall rating scale to individual goals, Success Factors and other performance factors, there are now three separate rating scales, as described below. The overall rating scale focuses on results and impact.



When rating these aspects of performance:	Goal Achievement or Other Performance Factors	Success Factors* or People Management
These scales will be applied:	EX – Exceeded	RM - Role Model
	ME – Met	FP - Full Proficiency
	PM – Partially Met	DE- Developing
	DN – Did Not Meet	NI - Needs Improvement

* [Click here](#) to review “Success Factors” (or see Appendix)

When **Overall Performance** is rated, this scale will apply:

Level	Rating	Definition
5	Results and Impact Exceed Expectations	Impact exceeds expectations for the role. Makes exceptional contributions through superior performance on key goals; role model in demonstrating DPS Success Factors. Demonstrates high degree of skill and competency.
4	Results and Impact Fully Meet Expectations	Makes significant contributions and impact by meeting key goals and performance indicators and demonstrating full proficiency in DPS Success Factors and critical job skills.
3	Results and Impact Generally Meet Expectations; Opportunity to Expand Impact	Solid contributor who generally meets goals but could expand impact in their role. Further consistency, demonstrated impact in key areas, or development in DPS Success Factors is required to realize full potential within the role. Demonstrates the willingness and ability to grow.
2	Results and Impact Need Improvement	Impact is below that expected for the role. Results do not meet expectations for experience and job level. May have missed an important goal or goals, or require different development in a key skill area or Success Factor. Short-term performance development plan is required.
1	Results and Impact Are Unsatisfactory	Did not meet key goals and/or does not demonstrate proficiency in critical job skills or DPS Success Factors. Immediate and significant performance improvement is required. Performance Improvement Plan with specific timeline (generally less than 6 months) is required.

HOW TO THINK ABOUT YOUR PERFORMANCE

Our shared goals as an organization—that we close our achievement gaps and put every child on a path to graduate from high school prepared for college and career—are stretch goals. We will only achieve our district goals if every employee challenges him/herself to set and achieve ambitious goals which move the bar in a significant way. The Employee Performance Management Process (EPMP) is intended to be a transformative process that propels the district forward in meeting its goals.

As you evaluate your own performance, remember:

- When we evaluate **school** performance, “meeting expectations” requires schools to have made significant progress to close the achievement gap.
- When we evaluate **individual** performance, “meeting expectations” requires creating meaningful impact within the scope of the individual’s role.



[Click here](#) for the following FAQs (or see Appendix):

- Q: Why did the rating process change in 2010-11?*
- Q: Does a “3” rating mean I’m considered to be a poor performer?*
- Q: If I don’t work directly with students, how can I have an impact on closing the achievement gap and support District goals?*
- Q: Is there a distribution of performance ratings each group is expected to meet?*

HOW TO DOCUMENT YOUR SELF-ASSESSMENT

Writing a self-assessment provides an important opportunity for reflection; a time to objectively consider your performance. It will also help your manager more clearly see the results you have accomplished and the impact you have had in the past year. The more specific and objective you are in your self-assessment, the more you will learn from the process, and the more effective the self-assessment will be in informing your manager's evaluation of your performance.

In order to fully demonstrate your performance you will want to clearly document:

- The specific results you accomplished, highlighting your most important accomplishments.
- Your most significant challenges, acknowledging where progress was more limited.
- The impact you had; how did your efforts better position your team, department and DPS to achieve its goals?
- Where you challenged and improved upon the status quo and created meaningful change.
- How you demonstrated the DPS Success Factors in achieving your goals.
- Any new roles you took on and new skills you applied.
- Lessons you learned and how you can apply these lessons going forward.

Your documentation should be **linked to the goals** you set at the beginning of the year, **specific and factual,** and **thorough but concise.**

Highlight the most important outcomes and indicators of our performance. Note variances – both positive and negative – from the goals and performance indicators set at the beginning of the year.

The more weight a goal has, the more documentation you will want to provide on goal achievement.

DOCUMENTING GOAL ACHIEVEMENT

In documenting goal achievement, focus not just on activities that you completed, but more importantly, the quality of the results and the impact you had. An activity explains **what** you did – the individual steps or actions you took to deliver on a goal. Impact explains **why** it mattered.



How did you:

- Impact student achievement and growth?
- Contribute to improved school performance and educator effectiveness?
- Improve service to or engagement with students and parents?
- Improve operating efficiency and financial management?
- Improve the District's physical assets?
- Enable your customers and peers to be more effective?

For each goal:

1. Document **measurable outcomes** where possible, referring back to the performance indicators defined at the beginning of the year.
 - Where **quantitative metrics** aren't possible, describe performance results and impact in terms of **objective observations** (e.g., observed behaviors, observed changes in processes and outcomes, observations on quality of deliverables, feedback received.)
2. Consider the process by which goals were achieved. How did you demonstrate the **Success Factors** in achieving your goals?
3. Note areas in which you could have been more effective and **opportunities for development** you identified, to ensure continuous improvement and growth.

DOCUMENTING GOAL ACHIEVEMENT (CONT.)

Results documentation should focus on impact versus activities.

Examples

(Objective performance metrics should be provided to support impact statements wherever possible)

Activities	Impact
Developed new mentoring program for 1 st -year teachers identified as “at risk”	Increased the effectiveness of program participants as measured by teacher observers and year-end performance ratings.
Implemented data-based intervention process for at-risk freshmen	Percentage of freshmen on track to graduate based on credits earned increased almost 5%; educators rated process as highly effective and a model for other development efforts.
Implemented new project management software and trained users	New project management software supports central tracking of projects across teams, enabling early identification of at-risk projects and re-allocation of resources to highest areas of need.

Example documentation for goal achievement is provided in the following pages.

[Click here](#) for these FAQs (or see Appendix):

- Q:** What if I didn't achieve a goal?
- Q:** What if I don't have 2011-12 goals?
- Q:** How do I report unplanned but significant accomplishments?

DOCUMENTING GOAL ACHIEVEMENT – EXAMPLE

Cut and paste goals and performance indicators that you had set at the beginning of the year into the **2011-12 Self-Assessment and Performance Evaluation Form**.

Goal Statement: Develop and implement new orientation and on-boarding process for new transportation employees to facilitate retention and minimize time to full productivity.

Performance Indicators:

- New onboarding process implemented by October 1, 2011
- First 30 day regretted turnover under 10% by May 1, 2012
- 85% of new hires surveyed after 30 days indicate satisfied or higher with job placement
- 95% of new employees rated as fully proficient by supervisors at 30 days after hire
- Process encompasses district, department and team protocols and performance standards

Results: I completed this goal and met all of the performance indicators, with the exception of the 30-day proficiency rating. Only 70% of the new employees were rated as fully proficient at 30 days, but supervisory input was that 30 days is too short of a measurement period for some jobs. I am in-process of working with the supervisors to determine the appropriate measurement timeframe for each job. I worked with people across the department as well as with HR to make sure that the program had the right content and would prepare new employees to be successful. I also did a survey of employees that started in the department without the benefit of orientation to find out what information would have helped them in the first week, month and quarter. This helped to make sure the program not only had the right content, but that it was delivered to new employees at the right time. While I met the October 1 implementation deadline, better coordination with the administrative assistants would have prevented some after-the-fact re-work; I need to do a better job of identifying *all* key stakeholders up-front.

Important Note: *If you did not document goals and performance indicators at the beginning of the year, or if you had an unplanned goal, do not backfill these fields. Document key accomplishments in the 'Results' boxes. Be sure to include relevant performance indicators in documenting results.*

DOCUMENTING GOAL ACHIEVEMENT – EXAMPLE

Results:

While not one of my initial goals, a key accomplishment this year was assuming a project management role for department communications. I heard frequent complaints about the lack of information about what was going on in the department and misinformation about district initiatives. I believed this was a critical need and outlined potential objectives and benefits. My manager agreed to my allocating time to develop and test a communications plan for the department. I read literature on best practices in employee communications on my own time, conducted two employee focus groups to understand information needs and frustrations, and met with department leadership to understand their perceptions of communication needs and what they were willing to take on. I developed a draft communication plan that outlined key communications points and vehicles, taking care to ensure required time commitments on the part of department leadership were reasonable and leveraging the District's communications team wherever possible. I received buy-off from the leadership team on the plan and approval from my manager to continue project managing during a pilot. After a 6-month pilot, leadership has agreed to continue the plan. A follow-up employee focus group indicated employees felt more connected to the department and more informed of district initiatives. I have learned a lot about employee communications and building a business case to support a goal; I need to work on managing my time in other areas to allow adequate time for this new responsibility.

[Click here](#) for additional examples of documentation related to goal achievement (or see Appendix).

DOCUMENTING SUCCESS FACTORS

DPS Success Factors define our core values, what we stand for and stand on. They are actions that are critical to the success of DPS and expected of every employee. Documenting results is about **what** you have accomplished. Success Factors speak to **how** you accomplished the results. [Click here](#) to review “Success Factors Definitions” (or see Appendix).



Provide **examples** and **document specific behaviors** that demonstrate your performance on each Success Factor, and describe the impact of your performance in this area on goal achievement.

Example

Deliver Excellent Service: Not only do I respond immediately to concerns, but I also try to talk often with my stakeholders so that I can anticipate and prevent problems from happening and better anticipate needs that they have. This has contributed directly to enhanced results on the principal’s survey. One specific example was when I raised the issue that customers were frustrated with slow response times. I conducted meetings with all teams involved in the process to understand what was impacting response time, and used the feedback to evaluate the current process and work with team leaders in developing improvement plans. As a result, response time has started to trend downward (from 72 to 68 hours) and key stakeholders report less frustration with the process.

Example

Collaborate: I demonstrated my ability to collaborate when I created the training program for new volunteers. Instead of designing the program based on only my own experience, I took the initiative to solicit input and guidance from experienced volunteers, principals and other leaders in the district. During the process I also mentored a coworker who needs further experience in program development and implementation. Based on prior feedback, I have paid specific attention to ensuring I’m proactively communicating with team members, which has increased their willingness to support my projects. I need to continue to get better at soliciting their input before decisions are made; they had good ideas with respect to program logistics that caused last-minute rework.

Q: How do we balance Goals and Success Factors in evaluating overall performance?

For answer, [Click here](#) (or see Appendix)

DOCUMENTING ADDITIONAL PERFORMANCE FACTORS AND PEOPLE MANAGEMENT

The EPMP form provides the opportunity to document any 'Additional Performance Factors' that should be considered in assessing your overall performance (e.g., knowledge/skills/abilities, certifications, attendance, policy compliance, standards of conduct, etc.). There is also a 'People Management' Factor for those who supervise others. Document results in these areas using the principles discussed previously in this document. Specifically address any goals or areas of focus identified at the beginning of the year.

SUMMARIZING OVERALL PERFORMANCE (OPTIONAL)

While optional, you may summarize your self-assessment in the "Year-End Performance Summary" section of the form. You may want to highlight:

Major Accomplishments and How You Created Impact

Missed Goals – How You Will Address, What You Learned

How You Have Grown and Goals for Future Development



EXAMPLES OF OVERALL PERFORMANCE SUMMARIES

Example

This year I have worked to create meaningful change in terms of our service levels to schools. Key accomplishments included quarterly needs assessments, streamlining the work order system, and implementing customer service training and performance standards for department employees. I took a systems approach to my goals, approaching them as components of an integrated solution, and benchmarked other service-oriented departments to understand best practices. I took full ownership of results, ensuring the projects were not just completed, but completed with deep attention to quality and impact. I developed stronger skills in two specific Success Factors: Collaborate and Make Change Happen. My goal is to develop stronger analytical and presentation skills so that I can present solid business cases and better demonstrate the impact of my efforts.

Example

I fully met 3 out of 5 goals, and played a key role in increasing communication and collaboration within our team. However, I missed milestones and other performance indicators on two key system implementations. In retrospect, I realize that I should have received buy-off from key stakeholders in defining priorities, resource requirements and milestones. I was unable to get key people to devote the required time to defining system requirements and realistic milestones. I tried to fill the gaps but ended up with considerable rework when system owners finally got involved. My drive to accomplish results and “make it easy” for stakeholders got in the way of the stakeholder participation I know is so important.

APPENDIX

- DPS Success Factors
- Additional Examples:
 - Goal Statement with Performance Indicators
 - Documenting Goal Achievement
- FAQs:
 - The Rating Process
 - Documenting Performance

[Click here](#) to return to top of document.

DPS SUCCESS FACTORS

Follow this link: http://hr.dpsk12.org/performance_forms or see **2011-12 Self-Assessment and Performance Evaluation Form** for representative behaviors for each Success Factor.

DPS Success Factors	Definition
Put Students First	Puts students first in setting priorities and delivering results.
Achieve Results	Sets aggressive goals, focuses on key priorities, and assumes responsibility for results.
Collaborate	Works proactively with others to achieve common goals.
Deliver Excellent Service	Takes responsibility for understanding and effectively addressing needs of students and other stakeholders.
Make Change Happen	Seizes opportunities for improvement and promotes positive change.

[Click here](#) to return to “Documenting Success Factors”

ADDITIONAL EXAMPLE: GOAL STATEMENT WITH PERFORMANCE INDICATORS

EXAMPLE

Goal Statement: Increase the number of freshmen and sophomores who finish the 2011-12 school year on track to graduate

Performance Indicators:

- Develop intervention planning system based on key metrics
- 90% of freshmen and 95% of sophomores have Personal Education Plan in place by end of October
- 80% of freshmen and 85% of sophomores on-track to graduate based on credits earned
- Educator survey assessing perceived effectiveness of support provided

Results: While results fell short of targets, substantial progress was made; 74% of freshmen and 81% of sophomores were on track to graduate as of the end of the school year. The process of getting stakeholder input to and review of proposed processes and tools took longer than expected, but it was invaluable in ensuring their ultimate buy-in as evidenced by an average 4.4 rating in the follow-up stakeholder survey. I also took the time to conduct student focus groups; in addition to providing valuable input, participants served as champions of the process. I recognized that it would be difficult to hold formal teacher training sessions to launch the process so I worked with school leadership and counselors to develop an implementation plan for each school. While very time consuming (it prevented me from reaching another goal), I believe the success of that strategy was evidenced by the fact that 90% of freshmen and 96% of sophomores had a Personal Education Plan in place by January 1. The intervention planning system I developed can ultimately be embedded into the Spotlight Report, but I have not yet been successful in securing buy-off from the necessary stakeholders. In retrospect, I realize I needed to present a more well-developed business case to secure their support.

[Click here](#) to return to “Documenting Goal Achievement”

ADDITIONAL EXAMPLE: DOCUMENTING GOAL ACHIEVEMENT

Results:

A key goal this year was to improve training and support to schools on successful teacher hiring, including screening and identification of high-potential candidates. I developed an advisory group of principals to identify current challenges and evaluate potential solutions; benchmarked best practices of both academic and non-academic organizations; and developed a screening tool based on the profile of current teachers identified as high-potential. Training in the new assessment tool was launched in April; there was significant resistance to adding more structure to the interview process but I was able to anticipate the resistance based on Advisory Team input and had worked with the HR partners to develop a coaching process which helped make them more comfortable with the process. 83% of the principals participated in the training program, with 77% rating it effective or above, and 78% of the participants in the pulse survey conducted following the spring screening believed the new process had made them more effective interviewers. The impact of these efforts will not be known until the next round of hires, but I have developed a set of metrics to measure both short- and long-term success.

[Click here](#) to return to “Documenting Goal Achievement”

FREQUENTLY ASKED QUESTIONS - THE RATING PROCESS

Q: Why did the rating process change in 2010-11?

- A:** We changed the rating process to:
1. *Enhance focus on performance results and impact.* To provide the right incentives to set stretch goals and exceed them, the overall rating will emphasize an individual's overall impact (within the scope of their role), rather than the number of goals they met.
 2. *Better differentiate performance levels.* The five-point scale for rating overall performance was developed in response to feedback that the prior scale did not enable managers to distinguish between generally solid performers who have the opportunity to expand their impact and employees with more significant development needs.
 3. *Make the ratings easier to apply.* It was hard to apply the definitions of the overall performance ratings to individual goals and Success Factors.

Q: Does a “3” rating (Results Meet Most But Not All Expectations; Opportunity to Expand Impact) mean I’m considered to be a poor performer?

A: No. To achieve our goals as a district, we need to set very challenging team and individual goals, and it's likely some won't be achieved. If we made good progress on an issue, if we learned something new, that's OK. We also need to continuously expand our capacity to perform – to expand our knowledge, skills and abilities. Identifying an employee as someone who has an opportunity to expand impact or needing development doesn't mean they've failed; only that further work is required to expand their impact and their ability to drive change in their role.



Q: If I don't work directly with students, how can I have an impact on closing the achievement gap and support District Goals?

A: Even if you don't impact students directly, you impact the effectiveness of the District by ensuring service is outstanding, processes are efficient, and resources are used as effectively as possible to help other be more effective in their role.

Q: Is there a distribution of performance ratings each group is expected to meet?

A: No, but leadership expects to see a reasonable relationship between the performance of the district and the performance distribution of employees. If we've set the right goals with sufficient stretch, and the majority of employees meet or exceed their goals, we should be meeting or exceeding our goals as a district. We're not; we're an organization that's in need of significant growth. We need individuals within our system to set stretch goals and exceed them in order significantly improve our results as a district and exceed them. Also something about high expectations for both adults and students ... At the same time, we also need to ensure consistency and fairness in goals and evaluations across groups. If one group's performance distribution is significantly higher (or lower) than the norm, the leader will need to build a case to support that difference.

[Click here](#) to return to “How to Think About Your Performance”

FREQUENTLY ASKED QUESTIONS – DOCUMENTING PERFORMANCE



Q: What if I didn't achieve a goal?

A: Explain why you didn't achieve the goal. Were there barriers that simply couldn't be overcome? Did priorities shift? If so, describe results relative to the new priorities.

Q: What if I don't have 2011/2012 goals?

A: Do not create 'retroactive goals'. Document your actual results in the 'Results' field, referencing relevant performance indicators. Leave the 'Goal Statement,' 'Performance Indicators' and 'District Goal Supported' fields blank.

Q: What if I made an unplanned but significant accomplishment?

A: Document the accomplishments in the 'Results' field or 'Overall Performance Summary,' indicating that this was an unplanned accomplishment.

Q: How do we balance 'Goals' and 'Success Factors' in evaluating overall performance?

A: We believe the Success Factors will drive our success as an organization and they should be given appropriate consideration in determining overall performance ratings. While there's no set formula for determining overall ratings, as guidance, the Success Factors should generally carry approximately 20 – 30% weight. The appropriate weight may be higher than that if warranted by individual circumstances (e.g., critical development needed.)



[Click Here](#) to Return to "Documenting Goal Achievement"