

# Individual Performance Planning and Appraisal

**MCFRS**



*Serving with  
Dedication, Courage  
and Compassion*

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# Collaboration at Work



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# Topics

- What is performance management and why it matters
- Best practices for managing performance
- Procedural requirements
  - Performance management in 3 steps
  - Administrative requirements
- Roll-out plan
- Resources



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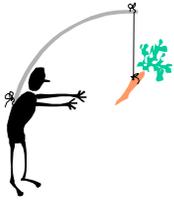
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## Performance Management is



A structured process for establishing a shared understanding about what is to be achieved, how it is to be achieved, and an approach to managing people that increases the probability of achieving success.

[More than the IPPA Form](#)

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## IPPA Facilitates

- Communicating and reinforcing organizational values
- Establishing a climate for superior performance
- Allocating training resources and supporting employee development
- Establishing a consistent approach for performance management
- Supporting personnel actions

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## New Procedure → New Features

- Updated performance expectations
- Critical elements identified
- Four rating categories:
  - \*Exceptional (E)
  - \*Above Expectations (AE)
  - \*Meets Expectations (ME)
  - \*Does not Meet Expectations (DNME)
- Simpler Overall Rating: weight and coefficient calculation eliminated
- Streamlined review process
- Steps to address performance issues

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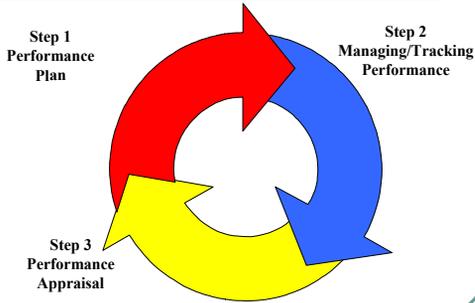
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## IPPA Process Overview



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## Supervisor's Role

- Establish performance plan
  - Review/create and discuss performance expectations.
  - Discuss career development goal
- Monitor/document/discuss performance
  - Address performance issues
  - On-going employee development-help employee succeed
- Review and rate performance
  - Rate expectations/determine overall rating
  - Note progress on career development goals
  - Discuss and finalize
  - Address performance deficiencies

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## Multiple Supervisors

- Shared supervision = shared participation in rating
- Supervisor must have minimum of six months experience with subordinate. (if less, consult with prior supervisor)
- Supplement information on performance with additional reliable resources

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## Other Key Players

- **Employee**-responsible for understanding what is expected, performing as well as possible, communicating with supervisor.
- **Reviewing Official** –Battalion Chief and above responsible for ensuring compliance and resolving conflicts over IPPA.

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## Your Most Important Tools

- **Trust**- Leads to cooperation and honest communication when employees can trust you.
- **Respect & Recognition**-Leads to employee job satisfaction and motivation when you value and respect them.
- **Insight**- combats subjectivity with recognition of potential biases.
- **Communication**- Leads to understanding.



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## Establishing Expectations

Step 1  
Performance  
Plan



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## What's in a Plan?

- Standardized Performance expectations for each rank/key specialties
  - Behavioral Anchored Rating Scales (BARS)
    - Examples of typical performance described for each rating category
- Individual or position specific expectations set by employee and supervisor
- Career development goal(s)-optional
- Developmental action plan goal-as applies

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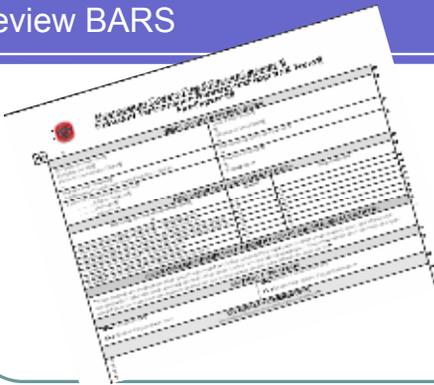
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## Review BARS



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## Critical Standards

- All Ranks
  - Customer and public relations
  - Hose lines & fire attack
  - Ladders
  - Personal protective equipment
- MFF & FFIII
  - Driver operator
- Lt. & Capt
  - General incident skills

Some specialty assignments may be exempted from selected standards.

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## Specialty BARS

- Emergency Communications Center (ECC)
- Code Enforcement
- Investigations

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## Adding a Supplemental Goal-sample

Performance of collateral map duties meets expectations when:

- Maps and indexes are complete, accurate and distributed to the appropriate locations in a timely manner.

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## Optional-Career Development Goal

Career development encourages employees to continue to grow in their current positions or to plan their own career path/promotional objectives.

- SUPERVISOR TO SUPPORT EFFORT
- NOT RATED OR PART OF OVERALL RATING
- EMPLOYEE MAY OR MAY NOT ACCOMPLISH
- PROGRESS NOTED ON IPPA
- OPTIONAL

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## Career Developmental Goal - sample

In support of advancement to the next rank:

- Complete 2 academy classes or earn 3 credit hours at an accredited institution.
- Serve as a part time instructor.
- Participate on a committee to replace the BARS system.

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## Developmental Action Plan

Goal(s) jointly established to improve DNME performance of non critical expectations.

- Create a goal for each non critical expectation receiving a DNME rating on prior appraisal
- Assess progress at 4 months
- Conduct interim appraisal if insufficient improvement occurs

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## Developmental Action Plan Goal-sample

• To improve area knowledge, participate in the activities listed below. Progress will be reassessed on 10/30/05.

- 1 hour of map study per shift
- 10 hours of area driving per month
- Give a shift drill of an area approved by Capt.

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## Planning Steps

- Print out copy of rank specific plan for subordinate
- Meet with employee to review expectations, develop mutual understanding of expectations and discuss career goals
- Add additional goals as needed
- Print out final copy

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## Final Planning Steps

- Obtain employee signature
- Obtain supervisor signature
- Copy to employee within 14 days
- Supervisor retains original cover page with signatures in supervisory file
- Supervisor plans how he/she will collect information on performance

*And don't forget to protect confidentiality!*

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## Managing for Success



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## Opportunities for Observing Employee

### Tips

- Put a reminder on your outlook calendar to have contact with a different employee each work day
- Schedule “ride a longs”
- Work along side employees as often as possible

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## Details about Details

- Detail supervisors need to track employee assigned to them
  - Document high/low performance
- Consider “do not detail” status
- Ask employee for feedback
- Communicate with supervisor of your detailed employee

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## Documenting Performance

- Relevant to job duties
- Factual-no opinions or rumors
- Objective-describe the behavior, not your label for that set of behaviors
- Specific: date, circumstances & consequences of behavior
- Balanced-include positive and improvement needed examples
- Note on DOR

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## Supervisory files

- Formal file-limited to last 12 months
  - Work samples, communications about performance, letters of complaint/commendations
  - Copies of contents reviewed/given to employee
  - Protected with access on a "need-to-know" basis
- Informal notes
  - Notes/information regarding performance
  - Not subject to employee review
  - May not be the basis of adverse action unless given to employee

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## Communicating About Performance

Mechanisms for communicating with an employee about their performance include:

- Informal or formal feedback
- Progress discussions

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## Feedback Facts:

- Verbal or written information a person gives and receives related to job performance.
- Allows timely adjustments.
- A key component of effective mentoring and coaching. It will help to:
  - Reinforce good performance
  - Encourage continued growth
  - Correct problem performance

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## The 3 Steps of Feedback

1. Describe what the person did:  
"When you failed to adequately deploy the ladder on the last call..."
2. Tell the impact on you, the team, the work:  
"...We were unable to reach the 2nd floor window..."
3. Tell the consequences and its impact.  
"...and we were required to spend more time on saving the victim, putting them and others at risk of injury."

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## Progress Discussions

- Supervisors are encouraged to hold a progress discussion at least 6 months into the review period
- The progress discussion should cover all elements of the performance plan-even developmental goals
- Make comments or amend the performance plan throughout the year, as needed
- Document with signatures on form

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## Performance Problems

- Analyze the problem.
- Provide coaching, training, increased supervision or other appropriate action to improve performance.
- Conduct formal/documented counseling sessions
- All notification and corrective actions should be documented in a supervisory file.
- Consider interim performance appraisal.

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## Exercise



- Observe
- Record
- Connect
- Rate
- Group Report

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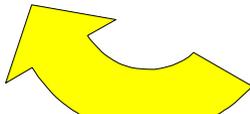
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## Appraising Performance



Step 3 Performance Appraisal

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## Appraisals: Two Types

- Annual (not to exceed 12 months)
  - Marks the end of an annual performance review period
- Interim (minimum of 4 months)
  - Change in supervisor
  - Significant change in duties (ex. Ops to FM)
  - Document performance which is not at an acceptable level

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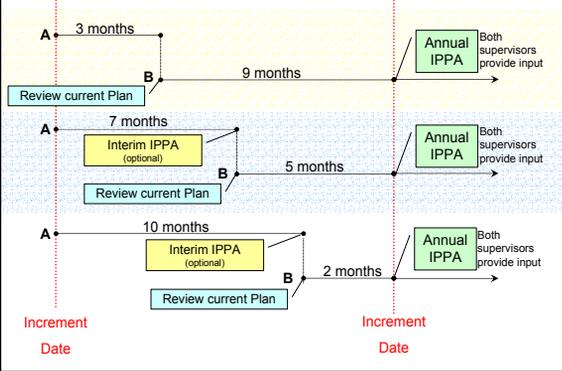
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## Change of Supervisor




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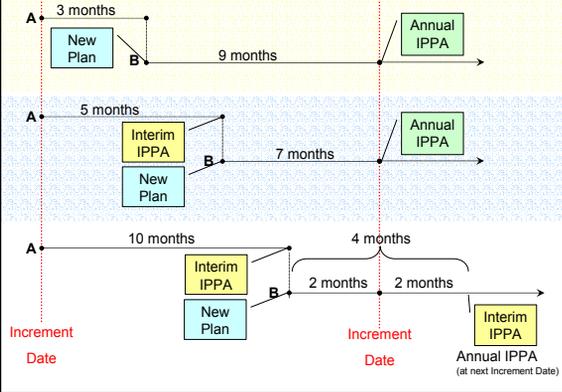
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## Change of Duties or Promotion




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## Appraisals Steps

- Review documentation
- Encourage employee's self assessment and contribution of information on accomplishments
- Solicit feedback from other sources (where appropriate)
- Review rating categories
- Compare expectations (on plan) with documentation (incl. customer service and other feedback)
- Determine ratings for each expectation

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## Appraisals, cont.

- Write an overall summary narrative
- Write rating justification for each DNME rating
- Note progress on development goal(s)
- Discuss draft performance appraisal with the reviewing official
- Discuss the appraisal with the employee
- Listen to the employee's comments and review information they provide
- Allow the employee to submit comments to be included in the performance appraisal

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## Administrative Requirements

- Obtain signatures
- Give employee copy (30 days)
- All forms (original signature) forwarded to Battalion Chief
- IPPA with overall rating of Exceptional or DNME forwarded (via chain of command) to Division Chief
- Start all over again!

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## Rating Justification

- Describe the situation or circumstances faced by the employee.
- Describe what specific actions the employee took to attain the results or demonstrate the competency.
- Describe the impact of the accomplishment.

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## Overall Rating

- After you rate the individual expectations:
  - Count the number of times each rating category is used- for example—Out of 15 standards you gave the following ratings:
    - 1 DNME (on a non-critical element)
    - 3 Meets
    - 10 Above
    - 2 Exceptional
  - Determine if any of the Critical elements received a DNME rating

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## Overall Rating cont.

- DNME on any single critical element = Overall Rating of DNME
- Otherwise-the overall rating is determined by the rating category used the majority of the time (=MODE).
  - In our example
    - 10 Above ratings = Above as the overall rating

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## Work Improvement Plans

A written plan developed with the employee to outline specific performance problems and required corrective actions and/or required performance to be demonstrated by a specified date.

- **NOT the same as an Developmental Action Plan.**
- **Initiated by a DNME overall rating**

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## Work Improvement Plans, cont.

A W.I.P. contains:

- A description of the specific problem
- A description of the expected "meets" standards performance
- Consequences if the problem is not corrected
- What assistance/support will be available to help the employee improve
- A timeline (not less than 90 calendar days) by which satisfactory performance must be attained

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## Timing is Everything!

- Planning: Within 30 days of anniversary or increment date or new review period.
- Monitoring and providing feedback- EVERYDAY.
- Appraisal: Within 30 days of the end of the review period.

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## Stay out of trouble by:

- Giving an employee on-going feedback so that the annual appraisal is a NOT a surprise.
- Keeping records and documentation
- Staying objective and managing rater bias (i.e. non-work related factors influencing your assessment)
- Ensuring that personnel actions are consistent with an employee's last rating and (unless you have new supporting documentation)
- Complying with departmental procedures.
- Avoiding non performance-related comments.
- Sharing the draft appraisal with the reviewing official **BEFORE** meeting with the employee

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## Forms Practice



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## PPA JEOPARDY!

America's Favorite Quiz Show

A.C.R.O.N.Y.M.S.	DO OR DIE	DEFINITIONS	TIMES A WASTIN'
\$100	\$100	\$100	\$100
\$200	\$200	\$200	\$200
\$300	\$300	\$300	\$300
\$400	\$400	\$400	\$400
\$500	\$500	\$500	\$500

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## Pilot Roll-out Plan

- Training for Supervisors (Oct.-Nov. 05)
- Pilot 12/05-11/06-No personnel actions to be based on pilot rating
- Evaluation of pilot
  - Supervisor on-line survey
  - Employee on-line survey
- Full implementation begins 12/2006

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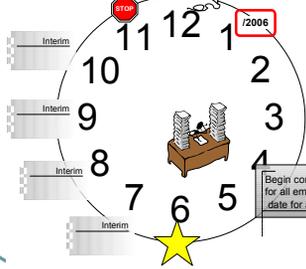
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## Pilot Schedule

Full Implementation  
December 2006

Establish plans for ALL  
employees starting December 1 2005



For increment dates between December 1 and June 1 conduct after 6 months and again at next increment date.

Begin completing appraisal for all employees at increment date for all dates June 1 or later.

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## Sharing IPPA with employees

- Schedule drill:
  - Announce availability of reference guides in each station in addition to MCFRS On-Line
  - Go over Overview of Article 59 handout with employees
  - Go over Pilot Roll Out Schedule
  - Inform them that you will be setting up individual appointments to go over plans with them.
- Individual Planning Sessions
  - Give employee a copy of their plan in advance of meeting with them
  - Explain where they fall on the Pilot Roll Out Schedule
  - Request their honest feedback and participation during the evaluation phase
  - Follow Planning steps

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## Resources

- IAFF Collective Bargaining Agreement
- IPPA Station Reference Manual
- MCFRS Administrative Services
- Office of Human Resources
  - 240.777.5000 & HR Resource Library



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## Suggested Classes

- Fundamentals of Supervision
- Giving Constructive Feedback for Improved Performance
- Coaching and Developing Employees
- Interpersonal Communications Skills for Managers
- Dealing with Employee Performance and Conduct Issues
- The EAP: The Supervisors Role
- EEO/Diversity Management for Managers and Supervisors
- Basic Labor/Employee Relations for Supervisors
- Managing Emotions and Anger in the Workplace
- Conflict Resolution
- Writing Skills for Managers



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## MCFRS Online

### Forms & Procedures



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## Closing Remarks & Questions

**Goals Begin Behaviors**

**Consequences Maintain Behaviors**



Take a minute out of your day to look into the faces of the people you manage...  
...realize that they are your most important resource.

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