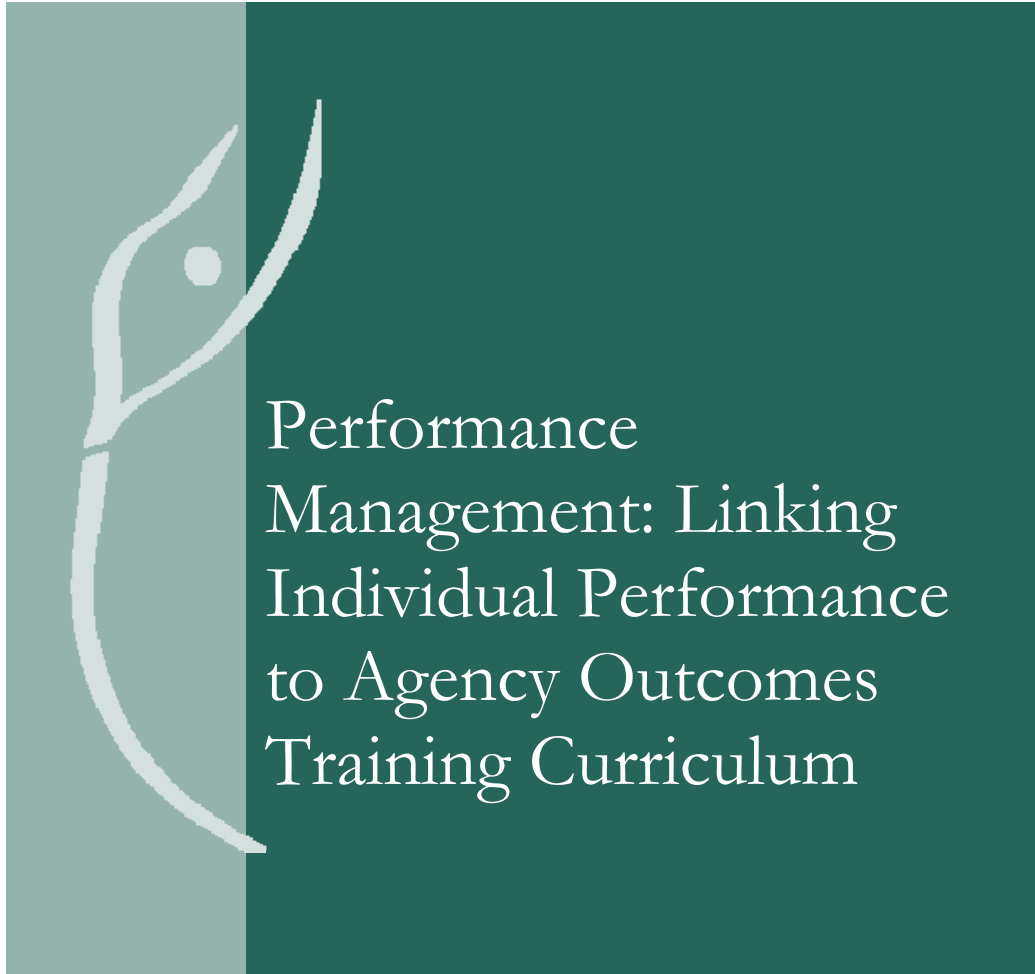




Maine Department of Health and Human Services



Prepared by the Institute for Public Sector Innovation
Recruitment & Retention Grant Funded

UNIVERSITY OF SOUTHERN MAINE
Muskie School of Public Service

**PERFORMANCE MANAGEMENT:
LINKING INDIVIDUAL PERFORMANCE TO AGENCY
OUTCOMES**

**TRAINER
CURRICULUM**

**Child Welfare Training Institute
A Collaborative Agreement Between
Department of Health and Human Services
And
Muskie School of Public Service**

*Funded by grant #90CT112/02
US-DHHS Administration for Children and Families, Children's Bureau*

An Overview of the Curriculum

Target Audience:

Child Welfare Supervisors

Length of Workshop

1 day, 8:30 – 4:00 (7.5 hours total, 6 hours of training)

Materials Needed to Present Workshop

- ◆ Name tents
- ◆ Basket for collecting issue cards
- ◆ Post It Notes for “Questions and Issues”
- ◆ Candy for tables
- ◆ Yellow hi-liter for each participant
- ◆ “Eye candy” cards for walls (statements about good practice and issues in performance management)
- ◆ Power point disc
- ◆ Binder with Participant Handouts
- ◆ Manila Folder with Andrea’s information
- ◆ Blank flip charts
- ◆ Demonstration audio tape
- ◆ Demonstration videotape 1-2
- ◆ Colored markers
- ◆ Masking tape
- ◆ Laptop/LCD and screen
- ◆ Leader icon for each table
- ◆ 30 Popsicle sticks (10 labeled “Supervisor”, 10 “Observer” and 10 “Andrea”)
- ◆ Satisfaction Evaluation forms for each participant

Advanced Preparation

- ◆ Review Audio tape for Step
- ◆ Review Videotapes for Steps
- ◆ Trainee Packet (handouts, manila folder with Andrea’s information, powerpoints)
- ◆ Poster of System Diagram

Posters:

- ◆ Concentric Circles center saying quality outcomes for clients
- ◆ Performance Management diagram (circles)
- ◆ Spokes work
- ◆ Benefits of Performance Management (page 12)

Handouts

1. Performance Management System Diagram
2. Maine Child Welfare Caseworker Competencies
3. Alignment of OCFS Practice Model and Core Competencies
4. Professional Development Planning Worksheet
5. Supervision Histories
6. Contract for Supervision
7. Rating Andrea's Performance on Audio Tape
8. Principles for Effective Supervisory Observation and Feedback
9. Elements of Successful Feedback
10. Assessing the Supervisor Giving Feedback to Andrea: Video #1
11. Responding to Andrea's "Gotcha" Comment
12. What does a Performance Appraisal Address?
13. PIP Goals Across the State
14. Performance Appraisal
15. Rating Errors
16. Steps to Prepare for a Performance Management Meeting
17. Assessing the Supervisor- during Andrea's Performance Appraisal

Andrea's Folder

- ◆ Andrea's Profile
- ◆ 3 month probationary form
- ◆ A CWTI Caseworker Competency Self Assessment: Completed for Andrea, Pre-Service Training, September 1, 2006
- ◆ A CWTI Caseworker Competency Self Assessment: Completed for Andrea, Post Service Training, July 1, 2006
- ◆ State of Maine Performance Management Form (PER 119, 1/03): Completed for Andrea July 1, 2006 – June 30, 2007
- ◆ State of Maine Performance Management Form (PER 119, 1/03): Completed for Andrea July 1, 2007 – June 30, 2008

Overview of the Training Day

Time	Content and Training Methods	Participant Materials
<p>9:00-9:25</p> <p>25 minutes</p> <p>OCFS Rep. 10min</p>	<p>1. Welcome and purpose (presentation and discussion)</p> <ul style="list-style-type: none"> ➤ Welcome by OCFS Representative ➤ Introductions ➤ Housekeeping ➤ Materials Orientation-agenda, binder, manila folder ➤ Purpose of Training ➤ Seat Belt Analogy 	<p>PPT #1, 2,3</p>
<p>9:25-9:50</p> <p>25 minutes</p>	<p>2. Overview of Performance Management (discussion and presentation)</p> <ul style="list-style-type: none"> ➤ Reflection on previous experience's effect on supervisor's vision of PM ➤ PM Learning Objectives ➤ Performance management in child welfare – a parallel process with the caseworker-client relationship ➤ Shared partnership – getting input/providing feedback ➤ Achieving results through others – the balancing act of performance management/developing staff ➤ Need for performance management ➤ Benefits when it is well done and consequences when not done well ➤ Relationship of agency goals, four steps and supervisor activities 	<p>PPT # 4 - 12</p> <p>HO #1</p> <p>Learning Objectives</p>
<p>9:50- 10:10</p> <p>20 minutes</p>	<p>3. The Process of Performance Management (presentation and discussion)</p> <ul style="list-style-type: none"> ➤ Using information from the screening process to identify areas of growth and challenge ➤ Forming a partnership and communicating with CWTI Pre-service trainers (pre and post interviews) ➤ Overview of Maine's PM form ➤ Caseworker competency model as a tool for tracking performance and growth ➤ Supervising the new worker (probationary period) ➤ Developing a supervisory history and agreement ➤ On-going supervision ➤ One fictional caseworker (Andrea) 	<p>PPT #13- 19</p> <p>HO #2- 6</p>
<p>10:10 – 11:10 including break</p> <p>15 minutes</p>	<p>4. Sources of Information Illustrating One Source: Taped Interview (Andrea Audiotape)</p> <ul style="list-style-type: none"> ➤ Review the sources of information 	<p>PPT #20-26</p> <p>HO #7, 8</p> <p>Audiotape</p>

10:25-10:40 break	Break	
10:40-11:10 30 minutes	4. Using Sources of Information, cont'd <ul style="list-style-type: none"> ➤ Focus on one source – audiotape of worker and client ➤ Critiquing worker Andrea’s meeting with a client by listening to an audio taped excerpt 	
11:10- 11:25 15 minutes	5. Feedback (presentation and discussion) <ul style="list-style-type: none"> ➤ Three stages: preparation, observation, feedback ➤ Principles of eliciting information and giving feedback ➤ Steps of eliciting information and giving feedback ➤ Prepare for video – what does supervisor do well/need to improve; critiquing Andrea 	PPT #27 -29 HO #9
11:25-noon 35 minutes	6. Application of Observation and Feedback to Andrea Video Tape #1A <ul style="list-style-type: none"> ➤ Set up Activity ➤ Watch Video #1 of a supervisor/worker session, individually make notes on handout. ➤ Begin small group work 	HO #10 Video 1- Part A
12:00 – 1:00	LUNCH	
1:00- 1:30 30 minutes	6. Application of Observation and Feedback to Andrea Video Tape #1 A, (continued) critique supervisor on rating sheet, discuss in small group, share in plenary) <p>Assessing and Documenting Worker Performance – Practice</p> <ul style="list-style-type: none"> ➤ In-depth exploration of Andrea’s last video statement. ➤ Triad practice – round robin, passes, everyone plays each role – purpose is to speak with Andrea about her last comment ➤ Plenary processing 	PPT #30- 32 HO #11 Video 1, Part B

<p>1:30 – 2:15</p> <p>45 minutes</p>	<p>7. Performance Evaluation Reviews – overview (presentation and questions)</p> <ul style="list-style-type: none"> ➤ Purpose of the performance evaluation review ➤ Preparing for the session ➤ Conducting the session ➤ Performance review form <p>Critique and Document Supervisor’s Performance</p> <ul style="list-style-type: none"> ➤ Show video #2 ➤ Participants complete observation check list about supervisor’s performance ➤ Process their observations 	<p>PPT #33-37 HO #12-16</p>
<p>2:15 – 2:30</p>	<p>BREAK</p>	
<p>2:30 - 3:00</p>	<p>8. Critique and Document Worker’s Performance on Two selected Core Competencies</p> <ul style="list-style-type: none"> ➤ Performance review form (worker only) ➤ Participants practice critiquing and documenting Andrea’s performance in preparation for writing the RESULT section on the Maine PM form for two competencies 	<p>PPT# 38 - 41 HO# 2, 3, 13</p> <p>Andrea’s profile folder</p>
<p>3:00 – 3:30</p>	<p>9. Performance Planning</p> <ul style="list-style-type: none"> ➤ Agreeing on performance goals ➤ Agreeing on developmental goals ➤ Review and renegotiate supervisory agreement ➤ Identifying other resources to develop staff ➤ Document in section 5 of the Maine PM form 	<p>PPT# 42</p> <p>Performance Management Form</p>
<p>3:30 – 4:00</p>	<p>10. Creating a Performance Management system (discussion)</p> <ul style="list-style-type: none"> ➤ Return to flipcharts from first brainstorm in morning session and review issues raised. ➤ How has the training addressed these issues? <p>Wrap up and Evaluation (Final questions and trainee satisfaction evaluation)</p>	<p>PPT #43- 46</p>


LINKING INDIVIDUAL PERFORMANCE TO AGENCY OUTCOMES WORKSHOP GOAL AND OBJECTIVES

Goal:

The purpose of this workshop for supervisors is to promote the use of consistent performance management, evaluation and professional development to achieve agency goals related to safety, permanency and well-being.

As a result of participating in this workshop supervisors will be able to:

1. Describe performance management in child welfare as a balance between encouraging self-development and professional growth of workers and holding them accountable for achieving agency outcomes.
2. Describe the importance of performance management as an ongoing, competency-based process beginning with pre-service, through the probationary period, and supervision of new and seasoned workers.
3. Identify and use a variety of sources of information and assessment tools to (a) conduct a comprehensive analysis of worker strengths and gaps and (b) to encourage self-development and professional growth of workers.
4. Identify and demonstrate ways of providing ongoing feedback and eliciting worker input to generate a shared view/understanding of worker strengths, gaps and development goals and their impact on agency outcomes.
5. Identify and demonstrate understanding and skills in conducting effective performance evaluation reviews including preparing for the session, conducting the session, evaluating current expectations, setting future expectations and designing a plan of follow up.

Step 1:	Welcome and Purpose	 9:00 -9:25
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Step 1.1 Welcome - PPT #1 Performance Management

Invite an OCFS representative to emphasize the purpose of Performance Management and the connection to the Department's work. Some possible talking points for them:

- ◆ This workshop represents one aspect of what OCFS is focusing on in improving professional development for everyone.
- ◆ There is recognition that throughout the system there are gaps in performance appraisal and performance management for everyone, for workers, for supervisors and PA's. Performance Management Training for supervisors is one step within the system to begin to work on this issue.
- ◆ The expectation is that within the context of a very fast paced child welfare agency, performance management needs to be done effectively throughout the system to achieve important outcomes.
- ◆ Today we will be reflecting both on the evaluation form and the process leading up to the completion of the form including expectation setting for the following year.
- ◆ When staff are clear on what they are doing well, what they need to learn and have specified goals on how this fits within the bigger picture (PIP, CSFR, etc.) they can identify their accomplishments and are more satisfied in their work.
- ◆ Staff retention is an ongoing important goal for DHHS.
- ◆ We are hopeful that this training will move us closer to our goals.

Step 1.2 Introductions

- ◆ Introduction of Trainers- have each trainer introduce themselves, their present work and connection to supervision.
- ◆ Introduction of Supervisors- their name, office and program they work in

Step 1.3 Housekeeping

Bathrooms, Breaks, Lunch, end time, cell phones

Step 1.4 Materials Orientation

- ◆ Agenda- in pocket of binder
- ◆ Binder with Handouts and 3 Scripts
- ◆ Manila Folder with Andrea Caseworker's materials – Andrea has been with the department for over a year and has recently switched offices. This is the folder containing Andrea's information that was given to her new supervisor.

- ◆ We will also be using an **Audiotape and two videotapes** created specifically for this training. This will provide you an opportunity to view and critique some sessions between Andrea and her supervisor. We've pulled together useful resource material that you will be able to use to assess Andrea's performance on an on-going basis so performance management isn't seen as a one-time event.
- ◆ **Post it notes on table**
We welcome questions during the training and we've also provided post its on each table- and a flip chart page (parking lot) if things come up that don't fit in the moment or if we miss something you think we should cover- we'll look at them during breaks and at lunch to see if we can address them now or use the ideas for future training- or address in a different way in the districts

Step 1.5 Purpose of Training

- ◆ As you heard from OCFS, performance management is important to DHHS which is why we are all here today to learn more about the topic.
- ◆ **PPT #2** We know that within the context of a very fast paced child welfare agency, performance management needs to be done effectively and efficiently throughout the system in order to achieve important outcomes. However, we also know that it's something that very frequently falls to the end of our 'to do' list.

- ◆ **Seat Belt Analogy PPT #3**

Dick Grote, a national expert on performance management compares performance management to seat belt use. He says everyone agrees seatbelts are necessary, and we know they make people safe but at least for those from my generation, it was something we had to do – not want to do.

The same is true for performance management - for most people – it is seen as something we have to do, and we see its value but we still dread it and do it because we have to. Like seat belts, performance management is a fact of life and people accept that.

We also know that seat belt use has changed- children today grow up putting on their seat belts. They don't question it; they step into the car and automatically buckle up - they grow up with a different experience. Our hope is that one day performance management will occur in the same way.

Step 2:	Overview of Performance Management	🕒 9:25 – 9:50
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Step 2.1 Engaging the Group- Activity #1

◆ Four functions of supervision

When we talk about performance management we are really talking about an ongoing process- a process that relates directly to three functions of supervision, promoting professional development (Education Function) accountability (Management Function) and support (Support Function). We know that all of these functions are important for staff development (and related to agency outcomes) and yet this is so difficult to achieve.

◆ Reflection: PPT #4,

Think for a moment about your experience with Performance Management (evaluations/ appraisals) and answer the following questions:

1. Think back to your experience as a caseworker, what did your supervisor do or say that helped you in terms of performance management?
2. How has that experience informed how you approach performance management with your own staff?

Large Group Sharing:

Ask the group: **PPT #5** What is one thing that most influenced your view of performance management?

◆ Learning Objectives- PPT #6 , HO in pocket of binder

Ask participants to look at learning objectives and think about one thing they could learn today from this list that would enhance their approach to performance management?

Ask them to mark the ones that they think they might need help with.

◆ Topics that will be covered in this training: PPT #7

- ◆ What is Performance Management
- ◆ Why we do it
- ◆ How performance management **in** child welfare is similar to the work **of** child welfare.

Make reference to Posters – Benefits of having good Performance Management and Consequences of Not having good Performance Management

Posters

Benefits of Good Performance Management

- ◆ The Worker- Provides feedback on performance, clear expectations, improves morale, demoralizing if not done well
- ◆ The Supervisor - Provides information on how workers are doing, what can be done to impact unit performance, what can be done to improve individual performance
- ◆ The Agency - Legal issues, contract issues, impact on other workers when it is not done, lack of documentation when there is a disciplinary issue, an impact on outcomes.
- ◆ Families - Are more likely to experience CW services that promotes their growth and development related to child safety permanency and wellbeing

Consequences of Poor Performance Management

- ◆ Outcomes are not met.
- ◆ Staff is not held to any formal standard of performance.
- ◆ Children and families experience inconsistent, and at it's worst, even dangerous service.

Step 2.2 Implications for Performance Managers – Poster (Gallup Poll), PPT #8, 9, 10

Parallel Process - PPT# 8

- ◆ The unique and compelling aspect of Child Welfare is our need to balance-engaged, strong relationships and support with clients, while simultaneously holding them accountable for improving and learning behavior that assure children and families are safe and achieve permanency.
- ◆ We have the same obligation to our workforce. We must create strong relationships with workers to help them learn all aspects of the job, support them in the process, challenge them in areas of growth and hold them to standards of the profession while at the same time motivate and hold them accountable to achieve the desired agency outcomes.
- ◆ Families and caseworkers deserve the best and so do you.
- ◆ We can't avoid our responsibility to be honest, supportive and observant even when it may cause conflict. The consequences of error when inadequate performance is not addressed are too serious to be taken lightly. The better we do this aspect of our work, the better our system's ability to reach specific agency outcomes and support children and families' successes

Staff Retention- PPT# 9, 10, Gallup Poll Poster

The Gallup findings and various studies about Child Welfare retention and turnover tell us that the role of the manager and supervisors is critical. People leave managers (supervisors), not companies (agencies).

- ◆ And the reverse is true as well - staff stay because of good supervisors

Research suggests that the immediate supervisor is **the** critical link to both outcomes and retention. Things that help:

- ◆ If the immediate supervisor sets **clear expectations**,
- ◆ **Knows** you, (relationship)
- ◆ **Trusts** you (conveys self responsibility, accepting that mistakes will be made), and
- ◆ **Invests** in you, (and does this in an emotionally intelligent way)
- ◆ Then you can forgive other things about the organization and stay.

Agencies need to find ways of connecting agency goals and performance to create a performance culture, one in which performance of all staff is addressed constructively, openly and fairly.

Agencies should deal honestly with the 5% or so who are performing so poorly that they should be terminated and find ways of rewarding and encouraging the 15-20 % who are the true stars.

Step 2.3 The Performance Management System HO#1, PPT #11, #12 HO #1 Performance Management System Diagram

System Diagram - PPT# 11

One way to look at Maine's Performance Management process is that it can be a powerful retention tool because it identifies the professional development needs of staff and seeks to meet these needs on an ongoing basis.

- ◆ The **inner circle** is the agency's goals and the need of the organization to foster and sustain a performance-oriented culture. The goals include the desired outcomes of safety, permanency, and well-being and the district and statewide PIPs.
- ◆ **The inner wheel** (with the arrows) consists of the four steps of the formal performance management system needed to achieve the outcomes.

The following are the steps in the process:

A new worker enters into this system at the point of hire. The results of the panel interview, pre-service self assessments, pre and post meetings and testing give the supervisor the assessment and evaluation information of the worker's strengths and gaps. This information gives you the foundation for your first step:

1. **The first step is Performance Planning.** The supervisor and worker discuss the how and what of the job; how the person will do the job (behaviors and competencies) and the results the worker needs to achieve (key responsibilities, and goals). It also includes the worker's development plans.

This provides clear expectations for the caseworker.

2. **The second step is Performance Execution.** On the job, the caseworker works to achieve the goals, objectives and key responsibilities. The supervisor provides ongoing coaching and feedback, creating the conditions that motivate and best resolve any performance problems that arise. Regular meetings provide times for regular feedback. Every quarter, worker performance should be reviewed in relation to plans and goals.

3. **The third step is Performance Assessment.** As the time for the formal performance appraisal approaches, the supervisor:

- ◆ **Reflects** on how well the person has performed
- ◆ **Reviews** the documentation of performance collected over the year
- ◆ **Reviews** other sources of information
- ◆ **Prepares** a draft of the Performance Appraisal form, which we will look at later to see the sources of information needed to do this assessment.
- ◆ **Asks** the worker his/her thoughts about performance, including highlights.

4. **The fourth step is the Performance Appraisal or Evaluation Meeting.** At this meeting the supervisor and worker review the supervisor's appraisal form and the caseworker's self-appraisal of performance. They talk honestly about performance; strengths, weaknesses, successes, failures and improvement needs. This session provides the basis for the performance appraisal and planning for the next performance period. Later we'll go into more depth about the performance appraisal meeting.

5. **The outer wheel** contains the supervisor's activities that support and develop the worker and hold the worker accountable. They are in a wheel format because they occur repeatedly in order to sustain the efforts needed to achieve goals. You can start at any point on the outer circle. *Go around circle, touching briefly on all elements.*
- ◆ The supervisor/supervisee relationship relies on **engagement and partnership**
 - ◆ That provides the foundation for the worker and supervisor together, to enter a learning cycle, including opportunities for **observing/modeling**,
 - ◆ Offering advice/**coaching/constructive feedback**—revisiting expectations so the worker can clearly articulate what is expected of them
 - ◆ Providing opportunities for ongoing **dialogue** that promotes the worker taking ownership of the expectations and self responsibility for their learning
 - ◆ **Supporting** the worker through feelings of vulnerability
 - ◆ **Documenting** growth and needs
 - ◆ Initiating activities that support **professional development**
 - ◆ Maintaining **engagement and partnership/relationship** by checking in

Ongoing Communication: On-going communication is critical to the effectiveness of this process. There should be no surprises at the annual meeting.

Keeping up with the Steps: If the supervisor has done a good job of assessing and documenting a worker's performance throughout the year, the tasks of synthesizing the information and doing the performance evaluation should not be difficult or time-consuming.

Recap of Benefits- PPT #12

Viewed this way, the performance appraisal meeting is not an isolated event mandated by Personnel, but an integral part of the effective functioning of the agency. It's a way of helping workers understand how their outputs and competencies link to the strategic goals of the agency. And it makes your job as a supervisor easier.

Ask: What are your thoughts about this?

Now we will look at Maine's Performance Management process and consider all the points at which information about your worker is available to you as a supervisor.

Step 3:	The Process of Performance Management	🕒 9:50 – 10:10
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Align PPT and HOs

Step 3.1 Partnership – PPT #13 HO #2, 3, 4

Explain: The process of performance management is based on **partnerships**, from the beginning step with the supervisors who are involved in the panel interview discussion and decision making of candidates, and then the supervisor, worker and the Child Welfare Training Institute trainers during pre-service. The key players in this partnership are the supervisor, the caseworker, the trainers and Human Resources. The materials and tools that we use have been designed to be consistent with the requirements of Human Resources. For example, the competencies used in the Screening process are valid and have been approved by HR and the competencies in the Performance Appraisal process are those required by the State of Maine.

*Refer to **HO #2.*** The caseworker competency model for the worker’s job becomes the basis of performance management. Since 1994 the caseworker competency model has been used as a tool for measuring caseworker performance. The focus on caseworker competency began with an evaluation of the good work being done by experienced caseworkers, who had also achieved longevity. From these evaluations, competencies were distilled that became the standard for the hiring process, caseworker pre-service, ongoing training, professional development statements and evaluation. In 2007, the competency model was revised to make it more consistent with the state’s core competencies. In addition, OCFS developed a Practice Model to guide its work with children and families. To assist caseworkers and supervisors in understanding how the State Core Comps are manifested in CW work we developed a document that shows the alignment between the State Core Competencies and the Child Welfare Practice Model.

HO #3

The caseworker competencies provide a tool and a common language throughout this process for communication among the supervisor, the new worker and the trainers. In the Screening and Hiring process we focus on the competencies needed to be effective at entry to the caseworker position. And then we build through Pre-Service with the communication between the three parties. Continuity is provided because the competencies are consistent with the competencies in the performance management form. This is meant to be a transparent process to support the parallel process of how we want caseworkers to work with clients. It’s not just the supervisor’s voice; many other people can help each of you in the performance management process.

Step 3.2 The Hiring Process

From the beginning of the process that results in the hiring of your new worker, you receive useful information to assist you with your management of a caseworker’s performance.

Reflection: Think for a few moments about the period of time from the notice of a future panel interview through the return of a worker to your office from pre-service and your meeting with the CWTI trainers following pre-service training.

Ask: What information do you have from that time period to help you in engaging a new worker in the performance management **process**?

Trainer Note: *If not included add the following:*

- ◆ Panel interview- questioning process, information gathering and case summary
 - Identification of competencies and areas of challenge for new caseworkers can legitimately begin at the panel interview including the candidates' answers to the structured questions. The way in which the candidate uses the information gathering period, and the written summary of the practice case gives clues about competency areas and possible challenges.
 - Example: I think about one interview where the candidate, who later became a caseworker, showed an obvious aptitude for analytical thinking and observational skills based on the methodical way he asked questions, covered many areas of the resource information, and wrote a factual summary of the case. However, he also showed clear deficits in his rapport building skills as judged from his abbreviated answers to the structured questions. When he became a caseworker his rapport building became a perennial issue.
- ◆ Second Interview information
- ◆ Resume and Reference Checks. In reviewing the resume and talking with references you may uncover information about the worker's strengths and challenges that can inform your assessment and planning.

Step 3.3 Pre-Service Process- Laying the Foundation PPT #14, HO #2, 3, 4

Throughout the Pre-Service process there is a focus on giving the worker a clear picture of the job and the supervisor a clearer picture of the caseworker's ability to do the work.

Pre-Meeting with CWTI and the new Caseworker

A meeting is held prior to Pre-Services with each worker, the supervisor and a CWTI Trainer. The purpose of the meeting is to provide an overview of objectives, process and expectations. An emphasis is placed on the fact that the relationship is meant to be a transparent one. And the process for evaluating the worker's strengths and challenges is described.

PPT # 15 Pre-Service and Field Practice:

During Pre-Service there are a number of opportunities to obtain information on work performance.

- ◆ Significant field practice and reflection on field practice
- ◆ New worker's weekly reflections
- ◆ Any discussions with Pre-service trainers during Pre-service—Mid Meetings
- ◆ Senior worker's/supervisor's feedback from field practice
- ◆ The worker's training folder

PPT #16 Professional Development Planning Worksheet: HO #4

Prior to the end of Pre-Service the worker begins to build their development plan based on the competencies they understand they need to reach. On this worksheet the worker identifies 4-5 competencies where they would like to focus during the coming year and what they would like to do better for each.

Following Pre-service each new caseworker discusses the Professional Development Planning worksheet with their supervisor and it becomes the basis for their ongoing work. The Professional Development document is part of the basis of the supervisory agreement. This becomes a living document because the new caseworker and his/her supervisor share the ownership.

Post- Pre-Service Meeting:

Following Pre-Service a meeting is scheduled with the worker and the supervisor to review the Pre-Service experience. At that meeting results of personal characteristics (MBTI, Learning Style and Conflict Management) are shared. The Caseworker Competency Self Assessment is also reviewed and results before/after Pre-Service are discussed. A supervisor can compare the new worker's self-assessment of competencies (one prepared before Pre-service and one prepared at the end of Pre-service) to see differences, areas of growth and challenges

Step 3.4 **Supervising the New Worker (probationary period)**

As you're aware new caseworkers are evaluated at three months. Caseworker Pre-service (including field practice) constitutes eight of the twelve weeks before evaluation. Much of what goes into that evaluation can come from the new caseworker experience - as the trainer and the new caseworker share it with the supervisor. It can also be informed by the Competency self-assessment.

Step 3.5 **Supervisory History and Contract PPT# 17, HO#5, #6**

A well-taken supervision history **HO#5** can;

- ◆ Offer a rich understanding of your supervisees' experiences in supervision and help to explain ways the worker may relate to you as their supervisor.
- ◆ Provide insight into their stage of development as a worker, their style of learning and their resilience.
- ◆ Provide powerful opportunity for building shared understanding and focusing in greater depth on the supervisee's strengths and needs.

This supervisory history provides information that becomes a part of the supervisory contract.

A Supervision Agreement – **HO#6** is a tool you can use to develop and enhance the relationship between you and your supervisee- and analyze the degree of accomplishment for a performance evaluation. There are three elements to an effective supervision agreement. Effective agreements are like a three- legged stool. All three elements need to be in place for the process to work. The level and nature of each element may vary over time but all need to be there. The most important part of it for performance management is making sure expectations are specific, focused and agreements can be measured. The three parts are:

- ◆ Administrative – Frequency, location, recording etc.
- ◆ Professional – Purposes, focus, principles, accountabilities
- ◆ Psychological – motivation, commitment, ownership, investment, safety

Ask for a volunteer who has used a history and agreement when doing a worker's evaluation. Ask how it impacted their evaluation with their caseworker.

Step 3.5 **PPT #18 Introduce Andrea and her folder-Refer to the handouts.**

The forms in the folder have been completed for Andrea who we will be meeting in depth later in the training.

Step 3.6 Summary – PPT #19

In this unit we reviewed the early steps involved in performance management as we think about it as an ongoing process as defined in Maine's performance management system. We looked at the screening process and selection, pre-service, probation and taking supervision history and negotiation of a supervisory contract.

We can think of these steps along the way as providing supervisors many sources of information for assessing their workers strengths and needs. This will assist them in developing a professional development plan. In the next unit we will add to this list of sources of information throughout the caseworker's career.

A competent Supervisor needs to be both supportive and expect accountability. The cycle we presented and will be using today is supportive of that concept.

Ask: participants to skim Andrea's profile during the break

Step 4:	Using Sources of Information	🕒 10:10-11:10 includes break
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Step 4.1 The Array of Sources of Information- PPT #20

In casework it is important for workers to continuously gather information and assess how clients are doing toward the goals and outcomes of service plans. It is similar for supervisors working with caseworkers, or their “clients”. Both workers and supervisors have a variety of sources from which to gather information.

In light of the information presented in the prior unit, we are going to expand our growing list of resources or sources of information that supervisors may utilize to assess performance of staff throughout the life of a caseworker. Starting with Pre-service training and continuing.

PPT #21 Ask: What sources of information are available to supervisors to find out about caseworker performance, strengths and gaps? *Review the list on PPTs #22 & #23 and ask participants to expand on it.*

🔗 Trainer Note for Step 4.1 – see PPT #22, 23

1. Reading narrative or plans in MACWIS
2. Observing workers in action—FTM or client contact, or listening to Intake phone calls
3. Exploring issues with workers in supervision---obtaining the worker’s point of view
4. Observing what workers contribute in staff meetings and trainings, if possible and determining what workers gained in staff meetings and trainings
5. Listening to caseworker voice recordings of interviews in the field
6. Role-playing in supervision (simulation)
7. Reviewing Performance and Quality Management reports (PQI)
8. Hearing from community professionals, providers, colleagues or clients
9. Reviewing results of routinely tracking task completion and professional growth and development
10. Reviewing management reports for quantitative information

Step 4.2 Illustrating One Source: Taped Interview (Andrea Audiotape)
PPT # 24 Andrea Meeting with Her Client, Mrs. Allen Andrea's Profile (in her folder), PPT #25, HO #7 Rating Andrea's Performance on Audiotape
Audiotape Script of Andrea and Her Client, Mrs. Allen

Refer to Andrea's profile in her file:

We're going to illustrate and practice using one source of information from our list-listening to an audiotape made by a worker. What you are about to hear is an audiotape of the worker Andrea during a meeting with a client. Hopefully you've had time to look over her profile- but if not, take a few minutes to review Andrea's profile.

Preparation:

First, Andrea and her supervisor met to prepare for this experience. The supervisor asked Andrea to audiotape this interview to use in supervision to see what could be learned. Andrea developed the purpose(s) for her contact and they talked about what kinds of skills they would look for in the completed recording. They agreed that the feedback afterwards would focus on these specific areas. Andrea and her supervisor will listen to the tape separately and then comes together to compare notes.

1. To assess Mrs. Allen's ability to manage without her grandmother in meeting the children's basic needs.
2. To help Mrs. Allen anticipate and problem-solve about issues pertaining to safety concerns for her children.
 - a. Her perceptions that people assisting her are intrusive.
 - b. The completion of daily chores ie. meals, bedtime, laundry etc.

Case information:

Andrea and her supervisor are played by people acting their parts. In the audiotape, Andrea is meeting with a single mother, Mrs. Allen, to maintain her children at home. Mrs. Allen has three children ages 2-9. She abused substances, was depressed and left her children alone in dirty house without enough food. Her grandmother moved in to take care of the children while she entered rehab. She has been living back at home for several months and has been sober. She is participating in AA and a group for depressed mothers with substance abuse problems. Her grandmother left one week ago.

Use the Trainer Note in the box below as needed to further explain Mrs. Allen. Select only what they seem to need to know.

With Mrs. Allen's permission, Andrea made the audiotape of their face-to-face contact. The supervisor then listened to the entire audiotape. You will hear a selected portion of this tape, which takes place about 15 minutes into the home visit. Later, you will see a videotape of Andrea and her supervisor in which they discuss Andrea's progress using this portion of the audiotape.

Instructions:

***Refer to HO #7.** As you listen to this audiotape of Andrea and Mrs. Allen, consider the two purposes that Andrea identified for this contact with Mrs. Allen and the list of casework skills (on **HO #7**). Review **HO #7**, describing how to write evaluative comments and support them with lines from the script.*

*Have people count off from 1-5. These groups will correspond to the skill each group will assess on **HO #7**- each group will rate only one skill area. As well, ask each group to rate the purposes on the first page of the handout. Each group should come to a consensus about their rating. Tell group we will have a large group debrief so each will need to report out on the purposes and their assigned skill rating.*

Explain: Put yourself in Andrea's supervisor's shoes and think about what the audiotape indicates as to how Andrea is doing in each of these areas. After listening to the audiotape we will discuss these.

Trainer Note for Step 4.2 - More information about the client.

Andrea, a Children's Services caseworker has been working with Mrs. Allen for about two months, since Mrs. Allen's case was transferred to Andrea from CPS.

Mrs. Allen is a single mother of three children, ages 2-9. She is divorced from the children's father; who is incarcerated for attempted murder during a robbery two years ago. Mrs. Allen receives TANF. Four months ago a report was made to the Department because Mrs. Allen left the children home alone for several hours in the evening while she visited a friend up the street. CPS found a dirty home and the children dirty, underfed and frightened that their mother was gone. The oldest, Ralph, was taking care of the younger two, Crystal and Denny. Mrs. Allen was depressed and abusing alcohol.

A plan was put into place: Mrs. Allen entered detox and a short term residential substance abuse treatment program. Her grandmother, Mrs. Blake, moved temporarily from Vermont into the home to care for the children. Daycare and after school care were provided and a homemaker came in once and helped Mrs. Blake clean the home. In the four months since the Department received the report there has been progress: Mrs. Allen completed the substance abuse treatment program and returned home after three weeks.

Mrs. Allen attends AA regularly and has an AA sponsor. She has been on medication for depression for two months and reports feeling somewhat better. Her UAs have all been clean and for the past month she has attended all weekly meetings of a group for young mothers who have abused substances and are depressed. There have been no reports to the Department. Mrs. Blake says her daughter is doing somewhat better at making meals and cleaning up the house. On the other hand, she feels her daughter has to be prodded to do these things and prefers to lie on the couch and watch TV. Mrs. Allen said that Mrs. Blake exaggerates.

Mrs. Allen has continued to be somewhat belligerent towards Andrea and often expresses annoyance at having to work with the Department. Mrs. Allen also said that her AA sponsor is too bossy. Mrs. Blake said to Andrea in private, "My daughter has always been one to get her dander up if anyone tries to tell her what's best. Doesn't matter who it is, she never do want to listen – she's stubborn that way."

Three weeks ago Andrea, Mrs. Allen and Mrs. Blake began planning for Mrs. Blake to leave. Mrs. Blake said she thought Andrea was doing well enough that she could leave. Mrs. Allen said was doing a better job at making meals and cleaning up. Mrs. Allen said that she felt she could keep the children safe as long as she continued to receive services, including the day care and after school care. She said she realized that she needed to "keep it together" so that her children could remain at home. One week ago Mrs. Blake left. Andrea spoke to Mrs. Allen briefly the day after and Mrs. Allen indicated things were going well. This audiotape was made on the first face-to-face visit since then.

To prepare for this audio tape- The supervisor, Andrea's supervisor asked Andrea to make an audio recording of this visit with Mrs. Allen so she could listen to it and they could discuss it in supervision. They could then analyze Andrea's progress in specific areas such as; engaging the client, focusing on the purposes of the contact, persistence in pursuing goals of the contact, dealing with client resistance/reluctance, and organization abilities.

Participants have a worksheet listing these areas.

During this preparation Andrea identified two purposes for her upcoming contact with Mrs. Allen; 1) Assess Mrs. Allen's ability to manage without her grandmother and 2) Help Mrs. Allen anticipate and problem-solve about issues that could lead to safety concerns for her children if not dealt with. Andrea gave two examples from the planning session she had with Mrs. Allen and Mrs. Blake; 1) Mrs. Allen feels uncomfortable with her sponsor who she thinks is too directive and 2) Mrs. Blake often had to remind Mrs. Allen to do things for the children such as make meals, get them to bed, and do laundry.

Step 4.3 Play tape and critique Andrea—5 Small Groups

Refer to Script in back of binder.

Step 4.4 Debrief their ratings—Large Group

Debrief this activity in the large group by facilitating a discussion about the group's experience with the tool and their group ratings. Use the Trainer Note as needed.

Ask: Was HO #7 helpful in assessing Andrea's ability to meet the purposes and the skills she set out to demonstrate?

- ◆ What did you gain from hearing the contact?
- ◆ What might you have missed if you didn't hear the contact?

Be prepared that the discussion could turn to the purposes for the contact and whether they were the right ones. Explain that these were the purposes Andrea and her supervisor agreed upon. Ask what other purposes might have guided the contact in a useful direction. If not said, add that there was not enough focus on child safety.

4 📌 Trainer Note for 4.4

PURPOSES Andrea identified two purposes for this contact with Mrs. Allen:

FACTOR	RELATED AUDIOTAPE CONTENT
A. Assess Mrs. Allen's ability to manage so far without her grandmother in meeting the children's basic needs.	Andrea acknowledges that the children are looking well and cared for (Line 14) – she has gone to see the children at day care (Line 13). Andrea sees the pile of dirty dishes (Line 14). Andrea seemed interested in setting up support services (Lines 30, 34), such as the homemaker, but didn't explore Mrs. Allen's thoughts and feelings about falling back into bed when the kids go off to

	<p>school. (Like how bad is it? Does this make her essentially unavailable to the children or are they at school and day care by then? How much of the recent success is due to grandmother's efforts and isn't being sustained now that grandma is gone?) She didn't explore the possibility of other times Mrs. Allen feels this way when the kids ARE home or the likely struggle for her personally, and the possible impact on the kids.</p>
<p>B. Help Mrs. Allen to anticipate and problem-solve about issues that could lead to safety concerns for her children if not dealt with. Andrea gave two examples from the planning session she had with Mrs. Allen and Mrs. Blake (not in audio tape) - Mrs. Allen feels uncomfortable with her sponsor who she thinks is too directive</p>	<p>While the timing of Andrea's focus on Mrs. Allen's reactivity to directive people in her life (Lines 4, 6, 8) may not have been the best, the dynamic of how Mrs. Allen is involved with such people could be important to explore. For example, Mrs. Allen wants to dismiss grandmother for being too directive and yet needs her – is this also true of the AA sponsor and of Andrea? Could this dynamic play out with the homemaker also? That is, Mrs. Allen wants the homemaker but may set up a push/pull (invite/reject) dynamic.</p> <p>Andrea does not pursue the presence of the empty beer cans.</p>
<p>- Mrs. Blake often had to remind Mrs. Allen to do things for the children such as make meals, get them to bed, and do laundry</p>	<p>Andrea does a good job at giving legitimate praise and recognition in acknowledging that the children are looking well and cared for (Line 14). She then transitions to an area of concern, the kitchen sink full of dishes (Line 14). This was a good transition – it's helpful to find a way to affirm and praise a client before bringing up an issue about something that isn't going as well. She handles Mrs. Allen's parentified child solution (Line 15) well by asking her a question about it (Line 16) and sharing her own opinion in a mild way (Line 18)</p> <p>Andrea lays out the overall issue of Mrs. Allen following through with tasks to keep her children safe and sound empathy and genuineness. She then clarifies that she wants to see Mrs. Allen succeed. (Lines 20, 22, 24, 26, 28). This is in keeping with a main purpose of this interview.</p> <p>Andrea seemed interested in setting up support services (Lines 30, 34), such as the homemaker, but didn't explore Mrs. Allen's thoughts and feelings about falling back into bed when the kids go off to school. (Like how bad is it? Does this make her essentially unavailable to the children or are they at school and day care by then? How much of the recent success is due to grandmother's efforts and isn't being sustained now that grandma is gone?) She didn't explore the possibility of other times Mrs. Allen feels this way when the kids ARE home or the likely struggle for her personally, and the possible impact on the kids.</p>

CASEWORK SKILLS Andrea and her supervisor agreed to discuss the following skills:

SKILL	RELATED AUDIOTAPE CONTENT
1. Engaging the client	<p>Andrea started out with some reflective listening (Line 2). She built on what the client said to move the discussion towards Mrs. Allen’s proclivity to have people be directive towards her (4, 6, 8). This fits with Andrea’s tendency to be interested in underlying issues and dynamics in the lives of her clients. She shows awareness of others’ feelings, needs, perceptions and concerns.</p> <p>Andrea does a good job at giving legitimate praise and recognition (Line 14). She then transitions to an area of concern, the kitchen sink full of dishes (Line 14). This was a good transition – it’s helpful to find a way to affirm and praise a client before bringing up an issue about something that isn’t going as well. She handles Mrs. Allen’s parentified child solution (15) well by asking her a question about it (16) and sharing her own opinion in a mild way (18)</p> <p>She pauses to let Mrs. Allen think about solutions rather than suggesting them (Line 32)</p> <p>Andrea is forthright about her concerns and goal (36) and that seems to help Mrs. Allen be more involved (37)</p>
2. Focusing on the purposes of the contact	<p>In this line of questioning about Mrs. Allen’s reactivity to directive people, Andrea chose to go down a path intended to identify a pattern in Mrs. Allen’s life that is dysfunctional for her. A better path might have been to follow up on “it’s a relief to have grandma gone” (Line 1) by moving directly into how she is doing in running her house now. This would have been more in keeping with one of the main purposes of the interview (purpose drives practice). Andrea does recover and go in this direction (Lines 10, 12)</p> <p>This is not to say that the path of exploring Mrs. Allen’s reactivity to directive people isn’t useful; it’s just that the timing is not good here because it takes away from the primary purposes.</p>
3. Persistence in pursuing goals of the contact	<p>Andrea brings up and stays with the primary purposes, i.e., the extent to which Mrs. Allen is managing so that she keeps a safe house for her children.</p>
4. Dealing with client resistance/reluctance	<p>Andrea’s focus on Mrs. Allen’s issues with directive people backfired in that Mrs. Allen got annoyed and defensive (9) AND Andrea didn’t know what to do with that; she got flummoxed (10). (Andrea has a low sense of self-efficacy in demanding situations.)</p>
5. Organization abilities	<p>However, Andrea’s tendency to be disorganized interferes as she doesn’t have a copy of the agreement she and grandma and Mrs. Allen made (42). She comes up with an alternative (44) but her lack of organization may impede the process and will at least slow it down.</p>

	She also loses some credibility as a result. It is hard to show how important the schedule is if Andrea doesn't have it and doesn't know where to find it! (if she had been clear on her purpose for the visit before going it would have helped her know what she needed to bring)
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Step 4.5 Conclusion – PPT #26 HO #8

So far, we've listened to Andrea's audiotape of a client interview and considered her strengths and areas in which she might have done better.

Ask: As Andrea's supervisor, what might you do next? What will you do with this information? (Refer back to the Performance Management diagram)

- ◆ Andrea would listen to the tape—self assessment---self reflection
- ◆ Then feedback should be given to Andrea

HO #8: Get agreement that giving Andrea feedback is the next step. Refer the group to **HO #8**. There is a several page handout, called **“Principles for Effective Supervisory Observation and Feedback”** culminating in feedback. Explain that we have worked our way through the first two steps in that HO. Andrea and her supervisor took care of the “Preparation Stage” and the “Observation” happened, even though the audiotape is an indirect source. The 3rd stage is giving “Feedback”. This resource is provided for you, but we will not be using it directly today.

Step 5	Feedback	15 minutes 11:10 – 11:25
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Step 5.1 Overview of Feedback

Feedback is a crucial part of a supervisor’s role. It is one of the most effective ways to let staff know whether they are meeting their job and performance expectations. Ongoing and effective feedback will greatly increase the chances of their enhanced skill development, job satisfaction, and ultimately better child and family outcomes. It is used to change, maintain or increase performance.

Research Overview- PPT# 27

Research from organizational learning has shown (Van-Dijk & Kluger, 2000) that ongoing feedback has the ability to increase or decrease a person’s intrinsic motivation (their own desire to achieve their goals) - so getting people to do their jobs well depends both on feedback being given and even more importantly- how it is given.

Step 5.2 Reflection Activity: Elements needed for a successful outcome- PPT# 28 – HO #9

Reflection: Ask – think about a time when you received important feedback that helped you grow professionally – what was it – and what made it possible for you to take it in and make use of it? What was said or done that made that possible?

Have participants look at HO#9 ‘Elements of Successful Feedback’.

Ask: From the experience they thought about, what are the top 2 or 3 things that made you grow – both personally and professionally?



Trainer Note for Step 5.2 – If not said add:

Helped:

- Asked questions to help me discover it on my own
- KOLB cycle reflection and analysis
- Non judgmental
- Specific examples given so know how to change,
- Strength based and constructive
- Dialogue, a collaborative process
- Strength based yet constructive suggestions/ ideas
- Helped me get clear on their expectations
- Mutual respect and trust

Non- Helpful

- More about my ‘personality’ than specifics about what would be helpful
- Too general such as did or didn’t do good job- no way to change or repeat what was done
- So much information made me feel like I could never accomplish it
- Feels controlling- they are in charge not me creating a dependency on the judgment of the person giving the feedback
- Just the ‘what’ without any ‘how’ connected to it

the same issues over and over. Your job as supervisors is so challenging- to hold your staff accountable, confront them on things they need to improve and at the same time keep them engaged in the work.

One thing that is important to remember – said by Stephen Covey in (1989) is that we all have an emotional bank account- a reservoir of trust that develops between two people. If a person receives more withdrawals (corrective or critical feedback) than deposits (positive feedback) from co-workers or supervisors, their bank account with that person might end up empty. To keep a positive balance in accounts, a variety of opportunities need to be developed to enable staff and supervisors to give each other accolades or positive feedback.

Summarize: When people trust your purpose they are willing to listen. They must believe that you genuinely care about them, or about their goals or objectives. And of course we can see the parallel process between this work with caseworkers and the work they do with families.

Deci & Ryan, organizational consultants said in 1985:

Whether the feedback is positive or corrective, when it includes all the ‘not helpful’ elements it can decrease a person’s intrinsic motivation. In contrast, if feedback is perceived as informational and is done with all the elements you described, a person’s intrinsic motivation may increase, even if the feedback is corrective.

And the best way informational feedback is received is when the person themselves discovers what they’ve done right (or wrong) so asking the right questions is by far the best strategy.

5.3 Receiving Feedback PPT# 29

The last thing we want to consider before moving on to the next activity is the fact that you are always modeling for your staff- so how you receive feedback is as important as how you give it. As Supervisors it is helpful to ask, take in and make use of feedback given to you from staff and your own supervisor. At times this might be scary- its always hard to ask a question without knowing what you’ll hear (ask any lawyer if they would ever do this) but caseworkers will be more open to hearing from you if they feel you are truly open to hearing from them.

And of course- the list we just generated together will apply the same way – giving and getting are just two sides of the same coin.

Step 6	Application of Observation and Feedback to Andrea Videotape #1 A	1:00 – 1:30
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Step 6.1 Overview –HO #10

**Evaluating the Supervisor Giving Feedback to Andrea: Video #1
Andrea’s folder: Script of Andrea’s Feedback Session with her Supervisor Based on the Audio Tape: Videotape #1, Parts A and B**

We are going to apply this information about feedback to assessing Andrea and her Supervisor. You heard the audiotape of Andrea’s meeting with Mrs. Allen, now you are going to see a videotape of Andrea meeting with her supervisor.

At the end of the segment you will hear Andrea make a comment about feeling “caught” by the supervisor- we will look at that part of the video later.

Have participants count off by 3’s, tell group# 1 to pay particular attention to #1, group 2 to #2 and group 3 to #3 on HO #10- saying that they will be working with those questions in their small group. Go over HO #10, stating the questions on the left side:

Questions: How effective was the Supervisor in:

- ◆ Addressing Andrea’s purpose of the visit
- ◆ Attention to child safety
- ◆ Addressing the skills used in the visit- such as engagement, dealing with client resistance/reluctance, organizational abilities
- ◆ Giving Andrea feedback- on what was done well and what needed improvement

Step 6.2 Show Video Tape #1, Part A

Have people move into their small groups, finish taking notes and then come up with consensus response for reporting back to large group.

Step 6.3 Debrief: Ask each group to report out to large group on their assignments.

- ◆ Addressing Andrea’s purpose of the visit
- ◆ Attention to child safety
- ◆ Addressing the skills used in the visit- such as engagement, dealing with client resistance/reluctance, organizational abilities
- ◆ Giving Andrea feedback- on what was done well and what needed improvement

**Step 6.4 Show Video Tape #1, Part B -The “gotcha” statement
PPT#30,HO#11**

Now we are going to deal with Andrea’s gotcha statement by analyzing the supervisor’s response and its impact on Andrea? Jot down your responses on **HO#11** as you watch.

**Step 6.5 Analyzing The supervisor’s response to the ‘gotcha’ statement- PPT#31
Pair Questions**

Ask participants to pair up with someone and talk about their responses to the questions on HO #11.

1. What do you notice about the supervisor’s engagement and partnership?
2. What do you notice about Andrea as the supervisor’s gives feedback?
3. What do you notice about how the supervisor’s feedback meets the ‘Elements of Successful Feedback’?
4. What could the supervisor have said or done to be more effective?

Return to the large group and ask:

- ◆ What stands out for you about how well the supervisor did giving feedback?
- ◆ Is there anything else that you learned talking with your partner that you want to share with the large group?

Step 6.6 Wrap up of Video Observations- PPT #32

This is an extended, global analysis/ debrief that will be very useful if time permits.

1. How did the supervisor’s approach to giving Andrea feedback mirror Andrea’s approach to Mrs. Allen?
2. Thinking about the implications of these interactions, how might the case be impacted?
3. To what extent was the supervisor able to include agency goals or outcomes- including safety, permanency and well-being?
4. Given all of this, how might the supervisor help her to change this dynamic? Do you think she can do it- why or why not?



Trainer Note: If not said add:

- ◆ ...both felt trapped in the “Gotcha”.
- ◆ Both didn’t create or at least maintain partnership and engagement sufficient to withstand hearing substantial feedback.
- ◆ In the audiotape as Andrea moves to task/action away from dealing with relationship. (Mrs. Allen’s anger at GM’s intrusiveness and Andrea’s insensitivity) she didn’t identify underlying needs. This is similar to how supervisor responded to Andrea in the “Gotcha”!
- ◆ The supervisor didn’t address safety concerns such as: depression, beer bottles, exhaustion, problem with authority- will she take advantage of supports to keep children safe.
- ◆ The supervisor thought of Andrea’s role too narrowly. She didn’t emphasize child safety, first and foremost. (Didn’t help Andrea connect the need to explore what Mrs. Allen meant by “exhaustion” or the presence of beer bottles with child safety. Exploring how Mrs. Allen is “coping” does not go far enough to make the connection.)

- ◆ Touched on Andrea's preparation, organization only on the surface
- ◆ Touched on Andrea's ability to engage but didn't explore what it means to Andrea to be in situations where she constantly must confront conflict, annoyance, anger, etc. and still be able to carry out her responsibilities.
- ◆ The supervisor missed the opportunity to explore Andrea's beliefs about a category of people to discover how this might impact Andrea's practice (substance abuse and manipulation)
- ◆ The supervisor missed the importance of helping Andrea to fully explore for and understand a need (exhaustion) before suggesting a service).

What might prevent the supervisor from improving her exploration of Andrea's needs? What unmet needs might she have?

- ◆ The supervisor's own Role Clarity: Keep the focus on child safety for the worker
- ◆ The supervisor's lost sight of her role in exploring worker's needs and issues underlying those needs. (Andrea's skills assessment/development, ability to deal with annoyed/angry clients, etc.) The supervisor's supervisor may not be modeling this with her.
- ◆ The supervisor may not recognize the significance of careful identification of needs before offering services. And she may not know exactly how to promote this kind of work with her unit.
- ◆ The supervisor may not see her role as someone to challenge worker's beliefs and values to help them to determine which are helpful to their role and which need to be carefully managed. It seems to cross the boundary into therapy. The supervisor's supervisor may not be modeling the appropriate use of exploration with her.

How might Andrea's practice in the field mirror the supervisor's supervision with Andrea?

- ◆ The supervisor has rather superficial interviews with Andrea. Andrea conducts surface/superficial interviews with clients.
- ◆ The supervisor's assessment of Andrea's strengths and needs lack depth. Andrea's assessments lack depth.
- ◆ The supervisor's identification of Andrea's needs is superficial. Andrea's identification of client needs is superficial.
- ◆ The supervisor and Andrea's plan to meet Andrea's needs is not the best plan. Andrea and the client's plan to meet the client's needs is not the best plan.
- ◆ Growth and change is sporadic and slow and difficult to measure.

Step 7	Performance Evaluation Reviews	🕒 1:30 – 2:15
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- Step 7.1 Overview**
- PPT #33 Performance Appraisal Picture**
 - PPT #34 Chart of Distribution of Time**
 - PPT #35 PM Pitfalls**
 - PPT #36 PM Considerations**
 - PPT #37 Debrief Questions**
 - HO #12 RAP What Appraisals Address**
 - HO #13 PIP Goals**
 - HO#14 What do Appraisals Accomplish**
 - HO #15 PM Rating Errors**
 - HO #16 Steps to Prepare for a Performance Appraisals**

Preparing for and holding the appraisal meeting is an opportunity to measure a worker’s performance with the agency’s goals, mission and values. The process involves the worker and supervisor looking back together over the year (or whatever period of time is being assessed), thinking about the present and planning for the year ahead. **PPT# 34 HO #12** shows what the performance appraisal addresses and the distribution of time that should be spent on each part of this process.

Sometimes district goals or targets have changed and these changes need to be integrated into a new plan for the worker **HO#13, PIP Goals**. This is also an opportunity for the supervisor to show that he/she will be assessing how a worker has been doing in relation to their goals – and will be supporting the worker in their growth/learning.

- Step 7.2 HO #14** gives information about what an Appraisal can accomplish, and **PPT #35, HO #15** show some of the rating error pitfalls you need to be aware of when doing a Performance Appraisal.

Halo effect can occur when employees are liked personally by their supervisor; are especially good at one aspect of the jobs; have been with the organization a long time and/or are seen as a conscientious, loyal employee; and or when the supervisor fees giving a poor performance review for one reason or another.

Horns effect can occur when there is a personality clash with the supervisor; they are performing below average in one aspect of the job; the supervisor feels threatened in some way by the person.

Central Tendency Error can occur when everyone is rated as average, it undermines the effectiveness of the feedback being provided to workers.

Leniency error can occur when consistently high ratings are given. It causes employees to disregard average appraisals or expect consistently high ratings; can destroy effectiveness of appraisal system; can eventually hurt employee morale.

The Brookings Institute found that on average human service workers estimate that 17% of their colleagues are not doing their job well; 43% said that their poorly performing co-workers were not committed to helping people. This suggests that workers feel that performance issues are not being confronted and addressed.

PPT #36 - At the beginning of this workshop we talked about the reasons for doing performance management and identified some of the features of a good system and the benefits to the organization when it is done well. There are a couple of other considerations needing to be emphasized.

- ◆ From an employee's perspective one of the most important issues is **fairness** – each person wants to be sure that he or she is being treated fairly in relationship to other people.
- ◆ There are **legal issues** that relate to performance evaluation. In case law and under the Uniform Guidelines on Employment Selection (1978) established by the EEOC, performance evaluation is regarded as a test (Murphy and Cleveland, 1995).

This means we need to be careful and make sure we are treating each individual fairly and have **documentation** for our decisions. We probably have all experienced situations when a caseworker has grieved a performance evaluation and therefore know how important it is to get it right.

HO #16 talks about the steps you need to take to prepare – and keep in mind as you think about and prepare for an upcoming appraisal.



Trainer Note: For Rating Errors 7.2

Let's talk about inflated ratings and whether you should really give someone a negative rating for below average performance. In fact inflated ratings tend to be the norm, it's called the Lake Wobegon effect where all the children are above average. And maybe everyone in your unit is above average but sometimes-inflated evaluations are the result of not honestly evaluating negative aspects of performance. The literature on performance appraisal has mixed advice about whether or not aiming for a normal distribution in the scores is the most effective strategy in the long run.

In a textbook on Performance Evaluation, Murphy and Cleveland (1995) state that the primary goal of supervisors is to get the most possible out of the human and physical resources at their disposal. We need to think about the performance management system in light of this goal. How does it help and how does it hinder? They say that there are times when manipulating the system to achieve this goal may achieve more than following the rules and turning in accurate appraisals regardless of the consequences. Poor performance appraisals, especially if the organization's norm is to turn in high ratings for everyone, will probably lead to resentment, which may in turn make it difficult for the workers and supervisor to work together effectively in the future.

However, Holmes (1993) is clear that inflated or lenient performance evaluations do hurt. She says that they hurt the person being appraised, other staff and the organization as a whole. In terms of the person being appraised, she suggests that they are being shortchanged because they are not being given accurate feedback. If you fail to communicate about performance deficiencies, the person may not realize that there are problems and won't try to improve. So your short term "kindness" may be doing the person a disservice in the long run. The parallel with clients is clear.

Holmes (1993) also says that the hidden and most insidious impact is on other staff. If they see that poor performance is not being confronted then they may feel that it's not worth putting in extra effort and reduce their own effort. In terms of the organization, not confronting poor performance means that the organization is stuck with less than optimal employees and there is no record of inadequate performance for any future employment decisions. Again in child welfare we need to think about the impact on clients when we do not give caseworkers the kind of feedback necessary to help them improve on their performance.

Murphy and Cleveland (1995) suggest that performance feedback is most likely to be accepted by the person being rated when:

1. Appraisals are frequent
2. There is wide spread agreement concerning job duties
3. Feedback from any given source is consistent with feedback from other sources
4. There is widespread agreement regarding what constitutes good and poor

performance

The performance management process that we have described is a way to promote positive performance and give people the feedback they need to improve their performance.

Holmes, B. H. (1993) *The lenient evaluator is hurting your organization*. HR Magazine, June 1993 issue.

Murphy, K. R. and Cleveland, J. N. (1995). *Understanding Performance Appraisal: Social, Organizational and Goal-based perspectives*. Thousand Oaks, CA: Sage Publications.

Step 7.3 Preparation for Assessing the Supervisor's Performance

HO #17 Assessing the Supervisor during Andrea's Performance Appraisal

Script of Video #2 (participant binder pocket)

State of Maine Performance Management Form (PER 119, 1/03): Completed for Andrea July 1, 2007 – June 30, 2008 (Andrea's folder)

Now we are going to consider the concepts we just heard about as we evaluate the supervisor, the supervisor's performance as she conducts Andrea's performance appraisal. You will see a portion of the supervisor and Andrea at Andrea's performance appraisal meeting. Rapport has already been established and we are jumping in to the heart of it. As before, these are people acting parts. Refer to the above forms.

Before we begin, let's look at **HO #17**, a chart to help you evaluate the supervisor. Remember, now we are critiquing the supervisor, not Andrea's performance.

Andrea's current Performance Management Plan identifies **organizational skills** as one of the expectations for her to work on. That will be the focus of the videotaped portion of the supervisor's performance appraisal with Andrea.

Step 7.4 Show Video #2

Step 7.5 Assess the Supervisor's Performance

Break up into pairs or small groups to rate the supervisor using HO #17

Step 7.6 PPT #37 Debrief Questions

- ◆ What strengths did the supervisor demonstrate as a supervisor?
- ◆ In what areas could the supervisor improve?
- ◆ What elements of feedback did the supervisor attend to?

- ◆ In this excerpt, how much time did the supervisor allot to reviewing the past, the present, the future planning about the competency under discussion? (*Reviewing should be 25%, Analyzing should be 15% and Planning should be 60%*)
- ◆ If Vicki could do this again, what preparatory suggestions would you give her?

Analysis of Video (Script) for Debrief Discussion
Assessing the Supervisor
During Andrea's Performance Appraisal

Skill	Comments
1. Evidence of Preparation <ul style="list-style-type: none"> - Review supervisory notes - Gather documentation - Worker is prepared for meeting - Plan for structure of meeting 	Supervisor used data to prepare Line 3 sup has a copy of Andrea's paper Line 11 shows structure Lines 13,17,19 ,21, 23 are evidence of preparation Line 25 sup's emails to Andrea about documentation stats Line 45 I've thought a lot about this Line 49 evidence of preparation Line 12 Andrea wrote something for the sup in preparation for the interview
2. Positive engagement with caseworker <ul style="list-style-type: none"> - Promotes mutual purpose and respect - Attention to how feedback is given and received 	Lines 3,13,17,19,21, 23 Good, specific feedback Lines 31-33 Sup wouldn't have to bring these things up and Andrea would be less frustrated. Line 37 A feelings question Line 43 is positive feedback Line 45 mutual purpose/respect Line 50,51 positive engagement—gave Andrea a break from the difficult feedback Line 59 feedback—direct Line 61 respect for accomplishments
3. Evidence of orientation towards results <ul style="list-style-type: none"> - Maintains focus - Clarity of purpose - Purposeful planning for the future 	Focus on stats is appropriate. Line 11 purpose/focus Line 23, brought focus to documentation Line 29, Andrea made progress..but not enough to fully meet standard (Sup doesn't get derailed by Andrea's discomfort) Line 37 planning process exploration begins Line 55 planning
4. Evidence of positive communication skills <ul style="list-style-type: none"> - Genuine concern for professional development - Elicits workers perspective before giving own perceptve - Feedback is motivating and 	Line 1 Gave worker choice of where to start and later, Line 63 whether to move to the next subject Wants Andrea to succeed Lines 9,11 Feedback isn't very motivating Then she turns it toward the positive again (accomplishments first) Line 19 Offered a positive example Line 5 & 55 Elicits worker's thoughts

specific	Line 61 motivating feedback
5. Evidence that appraisal connects to achieving agency outcomes.	Line 2 and later on. Reference to the sup using agency targets (stats) Line 6 We have to pass the CFSR-meet minimum Line 9 Meeting targets of face to face contacts Line 43 connects back to specific family outcomes Andrea facilitated Lines 41 & 45 Link to outcomes

Results of Analysis for Debrief discussion.

Facilitate a discussion that will guide participants toward the conclusions below.

Strengths: The supervisor showed a lot of evidence of being prepared for this interview. She knew what she needed to cover and she had specific examples of both positive and negative performance. She also was able to reference that over the course of the year there had been regular communication with Andrea about the areas needing improvement. Her feedback was specific and direct and sometimes motivating, showing her desire for Andrea to improve her work so that Andrea would be less frustrated. Pretty good mixture of asking Andrea’s perspective and providing specific feedback. The interview was connected to achieving agency outcomes and the impact of Andrea’s performance on specific families. Nice job connecting the stats to why it matters for families and workers.

Improvements: There didn’t appear to be enough mutual purpose/respect established before the supervisor began to give difficult feedback.

Elements of Feedback that the Sup tended to: The sup did establish mutual purpose and respect and gave motivating feedback after some of the hard-hitting feedback had been given. All of her feedback was specific. It was about Andrea’s work and not Andrea as a person. Her feedback was informational rather than controlling. She did change the subject at one point to tell a story, perhaps to give Andrea a break from the difficult conversation.

In this excerpt, how much time did the supervisor allot to reviewing the past, the present, the future planning? The planning process began at line 37 with some exploration. Given that it was only focused on organization and documentation, the percent from this excerpt is roughly:

- 40-45% Reviewing the past (R)
- 20-25% Reviewing the present (A)
- 35-40%. Future planning (P)

If Vicki could do this again, what preparatory suggestions would you give her? Maybe she could have helped Andrea be a little better prepared to come to the interview knowing what her year-end stats were so that she could have elicited Andrea’s thoughts about those stats without having to start with her own conclusions about them.

Step 8	Critique and Document Andrea's Performance on two of Andrea's Core Competencies	🕒 2:30- 3:00 30 minutes
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Step 8.1 Overview- PPT #38

Andrea's performance form dated July 1,2007 to June 30th 2008

PPT #39, #40, #41 - Assessing Andrea

HO #2, 3, 13

Andrea's folder

We have seen some of Andrea's practice and our task now is to act as Andrea's supervisor and rate her on the Performance Management Form. Using Andrea's performance form dated July 1,2007 to June 30th 2008, we'll be rating her on her performance for last year and plan for the coming year.

Look through Andrea's folder to see what documents might be helpful. We find:

- ◆ Andrea's Profile
- ◆ Andrea's Previous performance expectations from her performance management form (2006-2007)
- ◆ Andrea's original Professional Development plan from 2006
- ◆ Andrea's professional development goals from her performance management form (2006-2007)

Ask: What other HO's that we've talked about today will help you in this effort?

- ◆ HO #2 Caseworker Competencies
- ◆ HO #3 The Alignment of OCFS Practice Model and Core competencies
- ◆ HO #13 combined district PIP plans from 2007

In our next activity we will be rating Andrea in a number of areas and we will use all this information- but first let's talk through an example. Look at PM form July 1, 2007 to June 30th, 2008

PPT #39 - Rating Andrea's Initiative

- ◆ What do we know about initiative from the core competencies?
For example, if you were going to rate Andrea on the competency 'initiative', found on the performance management form. Looking at **HO #2**, under initiative – what does the description under initiative say (ask a participant to read it out loud).
- ◆ How do you see Andrea's performance relative to taking initiative lining up with the corresponding practice model tenets?

Trainer Note: *if not said by participants tell them that the right one is 'our organization is focused on providing high quality, timely, efficient and effective services.'*

- ◆ How does Andrea’s performance contribute to improving the districts service (PIP goals)?

Trainer Note: Looking at **HO #13**, and remembering that this is a listing of district goals that were the focus for 2007, which goals might Andrea have been expected to contribute to? Refer participants to the headings, ‘Assessment’ and ‘Crossing the Case Continuum’. The PIP Goals that seem to connect are: Assess safety at every stage of a case; Improve the quality of face-to-face contacts; Meeting timeframes, particularly documentation.

Ask: Given this information, how would you rate Andrea on the core competency of ‘initiative’ (needs improvement, satisfactory, outstanding)? Explain your rating. Notice that there is space on the form for comments for each section to expand or explain your rating. (*Andrea is somewhere between Needs Improvement and Satisfactory*)

You can use the same process to rate Andrea (or your own caseworkers) on the rest of the performance appraisal form by connecting the expectations with competencies, practice model and PIP goals.

Step 8.2 Activity: PPT #40, PPT #41

🔑 Trainer Note for Step 8.2

Remind participants that they only have a little information about Andrea- but they should do the best they can for the purpose of this exercise. This is what you do know- and it is indicative of her job performance.

Remind participants that not having multiple sources of information makes doing this appraisal difficult.

Notice the importance of having standards to help you give real feedback to staff.

You need to be rating Andrea in relation to her own development – having the same expectations of her regardless of length of time on the job. Because unless supervisors rate using the standards rather than length of time workers have been on the job or other factors, it can lead to inconsistency between staff.

At your tables you will work on assessing two of the core competencies and rating one of Andrea’s performance expectations.

PPT #40- In relation to the two core competencies, 1) planning and organizing work and 2) interpersonal relations – be ready to support your decisions. You will use the process we just demonstrated to rate initiative to rate her on these two competencies and jot down some notes to support the rating. Understanding her strengths and challenges in relation to these competencies will help inform your comments about the competencies.

Trainer Note: *When it looks like small groups have completed their task, give the second instructions re: performance expectations.*

PPT #41 - Using the same process, rate Andrea's second Performance Expectation (PM form section 3)- "utilization of her field observations to accurately guide her assessments) from her previous year's performance expectations'.

Say: Make sure to document your group's reasoning.

Step 8.3 Debrief Exercise

Ask the groups to identify their rating for the two core competencies and the performance expectation: *Use the trainer note below to guide the discussion. Challenge participants whose ratings are significantly different from those below. Ask participants for specific examples that support their ratings. Ask how they have connected their responses/analysis to the Practice Model and PIP goals.*



TRAINER NOTE for Step 8.3 Debrief

1) Core Competency: Planning and organizing work

This Core Competency relates to the Practice Model and PIP Goals in that the ability to meet important agency/APHSA timeframes relies on the caseworker's ability to take charge of their workload.

Rating: Needs improvement: Andrea is improving in this area. Her supervisor noted her accomplishments during the past year, but she is still not quite meeting the target for monthly face-to-face contacts because the documentation is not getting into MACWIS on time. Andrea does not demonstrate a clear drive to be better in this area. Taking initiative is not fully demonstrated.

2) Core Competency: Interpersonal relations –

This Core Competency relates to the Practice Model and PIP Goals because in order to complete an accurate assessment of safety, caseworkers need to rely on their abilities to form relationships with clients, colleagues and community stakeholders in order to accomplish their work.

Rating: Satisfactory: Andrea has shown that she is able to engage her clients. However, the question remains about whether she can address difficult topics with the client while maintaining engagement.

3) Expectation: "utilization of her field observations to accurately guide her assessments"

This expectation connects to the PIP goals since timely, focused assessment of safety is important at every stage of a case.

Rating: Between Needs Improvement & Satisfactory: Although the audio taped interview shows a rather superficial interview with Mrs. Allen, Andrea is showing some evidence that she is able to analyze the information she is gathering and she uses this analysis to plan what she needs to follow up on in her next series of case contacts. She needs to show more depth in her assessments in identifying safety issues and following up on them as well as identifying strengths and needs. This will help her to meet the goals of improving the quality/purposefulness of contacts, completing accurate assessments and assessing safety throughout the case.

Step 9	Performance Planning	🕒 3:00-3:30
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Step 9.1 Issues in Planning
PPT #42 Employee Development
Performance Management Form

There are a number of issues that should be handled in planning. Again, we need to maintain a balance between accountability, support and between organizational goals and individual developmental goals. We need to be more creative about identifying resources for staff development – such informal connections as mentoring or job practicing with another skilled worker.

Ask: The group what creative activities have they employed to support their workers development? If not said, some examples might be; reading an article, online training, role-play in supervision, talking with another worker about what works for them, pairing them with a worker with specific strengths.

Step 9.2 Planning with Andrea

Maine Performance Management Form (PER 119, 1/03): Completed for Andrea July 1, 2007 – June 30, 2008

Mention to the group that it is important to note that Andrea and her supervisor are at a point in their relationship where they are working together to address Andrea’s needs.

Have group look back at the completed Maine Performance Management Form (PER 119, 1/03): Completed for Andrea July 1, 2007 – June 30, 2008

Have group look at Section 5, completed for last year. Typically first we would rate Andrea’s progress on last year’s Development plan. We won’t take the time to do that right now.

Activity: Together, as a large group we will create a plan for one Development Goal for next year.

Assume you’re Andrea, ask, using all the information we’ve looked at today, particularly the completed performance management form, what might you want as goals for further development for the coming year?

Now assume you are Andrea’s supervisors, ask, what do you think about the goals Andrea identified? How do they compare to the goals you’d want for her?

Trainer Note: *As trainer you select a goal from those identified that appears to be aligned with what Andrea identified and what the Supervisors choose. Explain to the group - that this is for training purposes, however in real life, a supervisor might be doing some negotiating and guiding around selecting the goal that might be most important.*

Once the goal is articulated, ask them to identify specific activities they would employ to support Andrea in her efforts to achieve the goal. Make sure the activities are directly connected to her goal and the activities are concrete action steps with time frames and are measurable. Note their ideas on a flip chart.

Step 10	Creating a Performance Management System Wrap up/ Evaluations	🕒 3:30 – 4:00
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Step 10.1 Parking Lot Issues (as much as time allows)

Address any remaining issues or questions.

Step 10.2 Summary

PPT #43- #45

PPT #43 We began this morning by talking about a Performance Management system and your role as a supervisor in creating a performance culture, one in which performance of all staff is addressed constructively, openly and fairly. In the current world of child welfare, we know that there is an emphasis on outcomes. Our challenge as supervisors is to connect individual performance, competencies and goals to agency outcomes. As we have seen today, it is an on-going process that requires constant vigilance, skills and commitment to providing feedback, setting standards by being willing to confront performance issues and rewarding high performance. Together we can all be involved in the constant spiral of learning, growth and development as we connect individual performance to agency outcomes.

PPT #44 Properly prepared, well-written performance appraisals:

- ◆ Realistically examine the past
- ◆ Accurately define the present
- ◆ Clearly chart opportunities for the future

PPT #45 *Ask:* What did you learn today that you will put into practice in your own performance management system?

Step 10.3 Final Questions and Workshop Evaluation

PPT #46 Wrap Up and Evaluation

Ask for any final questions.

Ask participants to complete the evaluation form. Ask for final comments.