



STATE OF WISCONSIN
Department of Employee Trust Funds
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CORRESPONDENCE MEMORANDUM

DATE: March 4, 2010

TO: Executive Committee
Employee Trust Funds (ETF) Board

FROM: Pam Henning, Administrator
Lynda Hanold, Human Resources Director
Division of Management Services

SUBJECT: Steps/Timelines for the ETF Secretary's Evaluation Process and Managerial Survey

Background

In December 2008, the ETF Board (Board) approved a performance evaluation form to assist in evaluating the Secretary in June of each year. The Board also approved a Managerial Survey as a helpful tool to provide additional information to consider as members evaluated the Secretary's performance. The Survey questions are aligned with the categories on the Secretary's evaluation form and cover management of operations; member/employer services; external relations; leadership; and staff development. The Board utilized both of these documents in your evaluation of the ETF Secretary in June 2009.

Proposed Survey and Evaluation Changes

At the June 18, 2009, meeting, the Board expressed interest in increasing the Managerial Survey response rate as it was somewhat lower than expected (77.3%). The Survey is sent to ETF's division/deputy administrators, chief information officer, human resources director, office directors, bureau directors, and general counsel. This year, the cover letter will indicate the Board would like 100% participation.

In addition, the Board suggested that the 'neutral' category on the Managerial Survey be further clarified to avoid managers selecting this as a default. The updated Survey (see Attachment B) includes an asterisk next to the 'neutral' category with a note that states to indicate why the manager is marking neutral.

Two changes were made to the Secretary's Evaluation form (See Attachment C). The first was to separate the opened-ended comment areas at the end: (1) Areas Needing Improvement; and (2) Goals for the Coming Year. The previous document linked them as one area for comment. The second change was to create the document as a fill in form that can be e-mailed directly to the Human Resources Director once completed.

We will be available at the Executive Committee and ETF Board meeting to answer any questions.

Attachments: A. 2010 Steps/Timeline
B. Managerial Survey

Reviewed and approved by Rhonda Dunn, Executive Assistant.	
Signature _____	Date _____

Board	Mtg Date	Item #
EXC	3.17.10	4B
ETF	3.18.10	4Ai

C. Secretary's Annual Performance Review

Attachment A

**2010
Steps/Timelines
ETF Secretary Evaluation Process and Managerial Survey**

Month	Steps	Responsibility
March	<p>Review managerial survey.</p> <p>Finalize survey with input from Board and distribute electronic survey to managers by 3/26.</p>	<p>Board</p> <p>HR Director</p>
April	<p>Compile managerial survey results and prepare summary for HR Director; review by 4/23.</p> <p>Distribute draft managerial survey report to Executive Committee for review/comments by 4/30.</p>	<p>Survey staff/HR Director</p> <p>HR Director/Executive Committee</p>
May	<p>Incorporate Executive Committee comments and finalize the managerial survey report by 5/7.</p> <p>Distribute final managerial survey report and Secretary performance evaluation template to Board by 5/14. Include Secretary's annual accomplishments and his/her response to overall performance expectations for the fiscal year.</p> <p>Return completed Secretary performance evaluation forms to HR Director by 5/27.</p> <p>Compile and summarize the Board's evaluation results and send results to the Executive Committee by 6/11 for review and comments.</p>	<p>HR Director/Executive Committee</p> <p>HR Director</p> <p>Board</p> <p>HR Director</p>
June	<p>Executive Committee meets or conducts a conference call to discuss results of the Board evaluations by 6/17.</p> <p>Distribute performance evaluation results to Executive Committee and Board prior to the June Board meeting by mail or e-mail.</p> <p>Board conducts a performance evaluation review of the Secretary at the June 24 meeting.</p>	<p>HR Director/Executive Committee</p> <p>HR Director</p> <p>Board</p>

Managers' Survey of ETF Secretary

1. ETF Secretary's Agency Oversight and Administration

1. Management of Operations

	Strongly Agree	Agree	Neutral*	Disagree	Strongly Disagree
1. Oversees budget, staff, and operating resources in a responsible manner.	jn	jn	jn	jn	jn
2. Ensures compliance with federal/state laws, rules, contracts and policies.	jn	jn	jn	jn	jn
3. Submits reasonable budget requests that address important priorities/needs.	jn	jn	jn	jn	jn
4. Makes thoughtful/appropriate decisions after gaining input and analyzing the facts.	jn	jn	jn	jn	jn
5. Ensures operational consistency/stability through a qualified managerial team and consistently values their skills, knowledge, and contributions.	jn	jn	jn	jn	jn
6. Uses benchmark studies, surveys, and best practices to improve programs, processes, and service.	jn	jn	jn	jn	jn
7. Establishes proper controls and security measures to meet ETF's mission/objectives.	jn	jn	jn	jn	jn
8. Encourages the prudent use of technology.	jn	jn	jn	jn	jn
9. Oversees and monitors ETF's business continuity/disaster recovery plans.	jn	jn	jn	jn	jn

Comment (*If marking "Neutral", please indicate a reason why.)

2. Member/Employer Services

	Strongly Agree	Agree	Neutral*	Disagree	Strongly Disagree
1. Uses various methods/tools to inform members about potential/actual benefit changes (legislation, regulations, policies, etc.).	jn	jn	jn	jn	jn
2. Ensures members receive accurate and professional responses to questions and information requests.	jn	jn	jn	jn	jn
3. Seeks partnerships with employers and a wide range of government organizations.	jn	jn	jn	jn	jn
4. Demonstrates/encourages open communication with Wisconsin Retirement System state/local employers.	jn	jn	jn	jn	jn
5. Solicits feedback from members/stakeholders on communication and service preferences.	jn	jn	jn	jn	jn

Comment (*If marking "Neutral", please indicate a reason why.)

Managers' Survey of ETF Secretary

3. External Relations

	Strongly Agree	Agree	Neutral*	Disagree	Strongly Disagree
1. Maintains effective communication with external entities/stakeholders (Legislature, Governor's Office, State of Wisconsin Investment Board, government officials and the public).	jn	jn	jn	jn	jn
2. Maintains awareness of state/national influences and activities.	jn	jn	jn	jn	jn
3. Works to enhance the agency's reputation and image.	jn	jn	jn	jn	jn
4. Desires and seeks input from state/federal benefit associations and interest groups.	jn	jn	jn	jn	jn
5. Understands and pursues a legislative program that protects members' legal benefit rights and benefit program stability.	jn	jn	jn	jn	jn
6. Ensures legislative and regulatory activities are monitored and analyzed.	jn	jn	jn	jn	jn
7. Maintains effective media relations and serves as spokesperson, when appropriate.	jn	jn	jn	jn	jn
8. Conveys the need for ongoing professional relationships with outside parties.	jn	jn	jn	jn	jn

Comment (*If marking "Neutral", please indicate a reason why.)

4. Staff Development

	Strongly Agree	Agree	Neutral*	Disagree	Strongly Disagree
1. Attracts, retains, and motivates quality employees.	jn	jn	jn	jn	jn
2. Creates an atmosphere that fosters teamwork, creativity, and participation.	jn	jn	jn	jn	jn
3. Works to ensure low turnover by maintaining staff satisfaction.	jn	jn	jn	jn	jn
4. Encourages staff training/other programs to develop skill sets and provide for career advancement, within budget parameters.	jn	jn	jn	jn	jn
5. Demonstrates a collaborative managerial style involving others in decision-making.	jn	jn	jn	jn	jn
6. Identifies and understands issues and takes appropriate steps to resolve them.	jn	jn	jn	jn	jn
7. Keep employees informed of key events or activities.	jn	jn	jn	jn	jn
8. Addresses succession planning for key positions.	jn	jn	jn	jn	jn
9. Encourages workplace diversity and assures managerial compliance with human resources laws and policies.	jn	jn	jn	jn	jn

Comment (*If marking "Neutral", please indicate a reason why.)

Managers' Survey of ETF Secretary

5. Leadership

	Strongly Agree	Agree	Neutral*	Disagree	Strongly Disagree
1. Instills a sense of confidence and is viewed as a skilled and trusted leader.	jn	jn	jn	jn	jn
2. Uses strategic planning team approaches to set goals and prepare for the future.	jn	jn	jn	jn	jn
3. Leads organization with a vision and provides clear direction to staff.	jn	jn	jn	jn	jn
4. Provides for effective and efficient daily management.	jn	jn	jn	jn	jn
5. Rewards excellence in various ways and offers a supportive work environment.	jn	jn	jn	jn	jn
6. Maintains awareness of employee benefit program trends and responds to change.	jn	jn	jn	jn	jn
7. Delegates authority/responsibility in an appropriate manner.	jn	jn	jn	jn	jn
8. Invites and welcomes innovative ideas.	jn	jn	jn	jn	jn
9. Acts in an open and ethical manner.	jn	jn	jn	jn	jn

Comment (*If marking "Neutral", please indicate a reason why.)

Secretary's Annual Performance Review

July 2009 – June 2010

The Secretary serves as the Department of Employee Trust Funds' (ETF) chief executive officer and is responsible for the detailed administration of the agency and oversight of the benefit programs. The Secretary shall perform all duties prescribed by the state statute or delegated by the ETF Board. The Secretary's performance review is conducted annually at the June ETF Board meeting.

Directions:

Each Board member should rate the Secretary's annual performance by placing an "X" next to an appropriate rating for each performance criteria by May 27 of each year. Individual evaluations will be collected by the ETF Human Resources Director and compiled into a final performance evaluation summary for review by the Executive Committee. Each Board member may provide remarks in the "Comments" box below each section.

Performance Criteria	Weight
Board Relations	25%
Management of Operations	10%
Member/Employer Services	10%
External Relations	20%
Leadership	25%
Staff Development	10%
Total	100%

Board Relations (25%)

- maintains environment that promotes positive and professional working relationships with Board members
- keeps Board members well informed of relevant issues, trends, system operations, external and internal challenges
- responds to Board members' questions, concerns and requests for information in a clear and timely manner
- provides assistance to Board committee chairs in the development of Board agendas
- assists and supports Board in execution of fiduciary duties
- works effectively with the Board in exercising its oversight responsibilities

Superior	Exceeds Expectations	Accomplished	Developing	Needs Improvement
Consistently strives to maintain a good working relationship with Board and to provide Board members with tools necessary for them to carry out their responsibilities.		Communicates in a satisfactory manner. Keeps Board members adequately informed of issues and activities.		Communication is lacking. Board members not sufficiently informed of issues and activities.

Comments:

Management of Operations (10%)

- provides for effective day-to-day operations of the Department
- manages operations in accordance with all relevant federal and state laws, administrative rules, union contracts, and internal policies
- develops reasonable budgets and manages the Department in a cost effective manner
- identifies and satisfactorily resolves problems
- ensures consistency and stability of operations through a capable and knowledgeable management team
- utilizes benchmark studies, surveys and best practices to improve processes and efficiencies
- makes audit compliance a priority
- exercises prudent use of technology
- oversees the security for all official documents and plans for business continuity

Superior	Exceeds Expectations	Accomplished	Developing	Needs Improvement
<p>Demonstrates the ability to manage daily operations efficiently and consistently. Utilizes sound management practices and technology to further the Department's mission. Ensures full audit compliance.</p>		<p>Manages organization sufficiently to carry out basic mission of the Department. Delegates appropriately. Attempts full audit compliance.</p>		<p>Manages operations and resources inconsistently. Does not fully utilize management team. Requires more focus on audit compliance.</p>

Comments:

Member/Employer Service (10%)

- ensures members are educated about benefits and informed of any benefit changes
- responds to member concerns in a timely and professional manner
- seeks to enhance partnership with employers
- seeks to improve communication with members and employers
- surveys members and employers about communication and service preferences

Superior	Exceeds Expectations	Accomplished	Developing	Needs Improvement
Consistently works in the best interest of membership. Responds to members and employers in a prompt and professional manner. Fosters good communication between groups.		Provides members and employers with adequate information. Responds to concerns within an acceptable timeframe and in a professional manner. Allows for open communication between groups.		Fails to keep members and employers informed. Does not respond to concerns in a timely and/or professional manner.

Comments:

External Relations (20%)

- maintains communication with external entities and stakeholders (legislature, Governor's Office, other government officials, State of Wisconsin Investment Board, and the general public)
- maintains awareness of state and national influences that may affect the Department, its benefit programs and the agency's reputation/image
- solicits input from associations and interest groups, both state and federal
- pursues a legislative agenda that protects members' legal benefit rights and the stability of the benefit programs
- monitors and analyzes legislative and regulatory activities
- maintains appropriate media relations and serves as chief spokesperson when appropriate
- ensures managers and employees understand the importance of ongoing communication with all entities and stakeholders

Superior	Exceeds Expectations	Accomplished	Developing	Needs Improvement
<p>Excels at communicating with external parties. Maintains awareness of outside influences. Takes steps necessary to preserve the integrity of the Department and benefit programs.</p>		<p>Communicates with external parties in a satisfactory manner. Able to effectively develop legislative strategies and respond to legislative initiatives.</p>		<p>Communication with external parties is lacking. Does not take initiative in pursuing legislative agenda.</p>

Comments:

Leadership (25%)

- inspires confidence and credibility with the Board, managers, staff and outside stakeholders
- utilizes a team approach to strategic planning to set goals and to prepare for future initiatives
- provides clear direction to staff and leads organization with a vision
- provides for effective and efficient day to day management of Department
- rewards excellence and offers a supportive work environment
- maintains awareness of industry trends and responds to change
- participates in professional organizations for personal and professional development
- invites innovative ideas and programs
- maintains the integrity of the Department by acting in an open and ethical manner

Superior	Exceeds Expectations	Accomplished	Developing	Needs Improvement
Demonstrates the highest degree of leadership by effectively planning for the future, keeping current in the benefits field and providing a stable and effective work environment.		Leads the organization in a satisfactory manner. Keeps staff informed of activities and projects a positive image of the Department.		Fails to adequately plan for future activities. Does not provide adequate guidance to employees.

Comments:

Staff Development (10%)

- recruits and retains quality staff
- creates an atmosphere that fosters teamwork, creativity and participation
- works to ensure low turnover by maintaining staff satisfaction
- encourages staff training and other opportunities for advancement, growth and skill building
- encourages staff teamwork; uses collaborative management style, soliciting staff feedback and involvement in decision making
- identifies internal problems and takes appropriate steps to resolve them
- keeps employees informed of events, activities and the overall direction of the Department
- addresses succession planning for key positions within the Department
- encourages diversity within the workforce and consistently follows human resource policies and procedures

Superior	Exceeds Expectations	Accomplished	Developing	Needs Improvement
Recognizes importance of trained staff and maintaining employee satisfaction. Ensures staff confidence by responding to concerns and seeking input from all levels.		Encourages input from employees. Provides training opportunities when possible.		Lack of action results in poor morale and productivity. Does not provide incentive for staff development.

Comments:

Achievements:

Areas Needing Improvements:

Goals for the Coming Year:

The Secretary's signature on this form does not necessarily indicate agreement with its content. His signature only indicates that he has read it and has had the opportunity to discuss this evaluation with the ETF Board.

Executive Committee Chair

Date

ETF Secretary

Date